

# EXHIBIT P

ITEM (1)

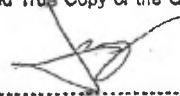


Certified True Copy of the Original

SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: A01348)  
Date: 15-10-2014

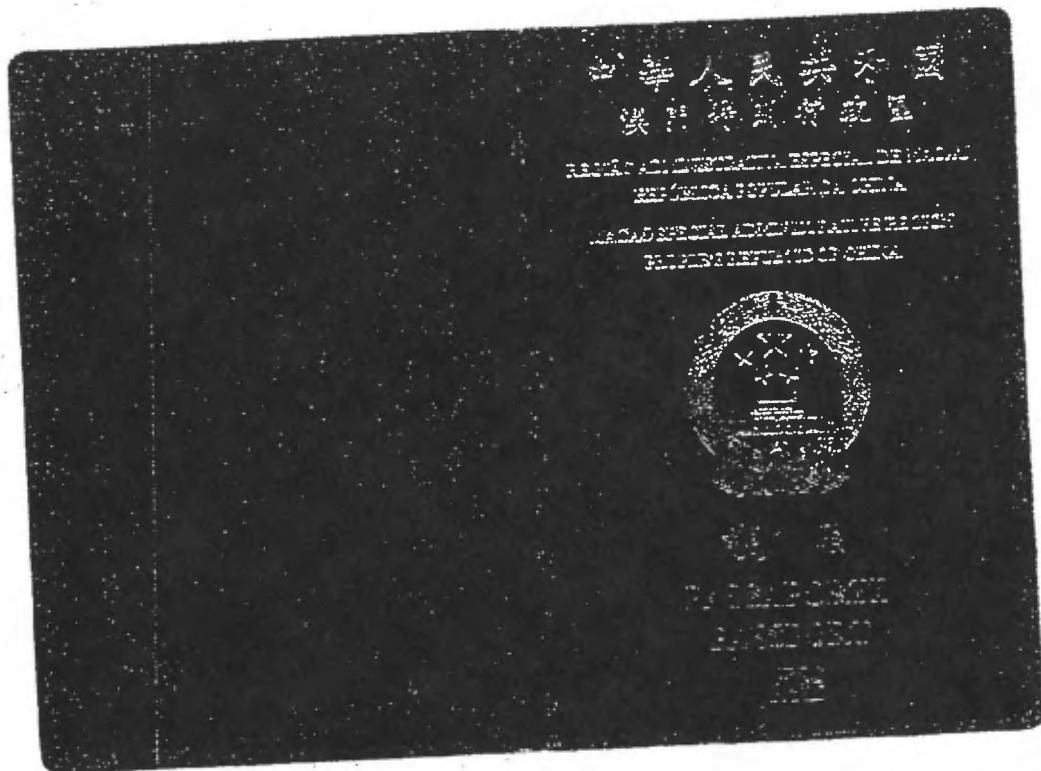
3

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SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: AOL348)

Date: 15-10-2014





SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: A0L348)  
Date: (5 - 10 - 2014)

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COPY

G2

香港花園道一號

Mr HUNG CHIN /  
FLAT C 46/F BLOCK 2  
THE ZENITH 258 QUEEN'S RD EAST  
WANCHAI HK

012-926 -1

客戶號	969-7
月結單日期	2014/08/29 ✓
頁數	1

綜合月結單

往來 / 儲蓄存款賬戶

戶口種類	賬戶號碼	貨幣	原幣結餘	等值港幣結餘 (結欠 DR)#1
往來賬戶 港元	684-4	HKD	6,738.39	6,738.39

往來 / 儲蓄存款賬戶交易記錄

日期/貨幣	交易摘要	提取	存入	原幣結餘 (結欠 DR)
往來賬戶 港元	B/F BAL.			5,500.00
2014/08/25 TRS	CHATS/12140825BKR11155		2,321,238.39	2,326,738.39
2014/08/27 CCQ 222571		2,320,000.00		6,738.39

#1 今日參考牌價 (港元兌換)

種類	參考牌價	種類	參考牌價	種類	參考牌價	種類	參考牌價
AUD	7.2470250	BCU	3.8568552	CAD	7.1382518	CHF	8.4736497
CNY	1.2614548	DKK	1.3715600	EUR	10.2222500	GBP	12.8665500
HKD	1.0000000	INR	0.1280886	JPY	0.0745910	MOP	0.9899625
KYR	2.4579765	NOK	0.2538019	NZD	6.5030250	SEK	1.1131219
SGD	6.2124248	THB	0.2426425	TWD	0.2593014	USD	7.7500000

如欲查詢本月結單內並未列印的其他貨幣參考牌價，請聯絡本行職員。  
如選擇日後收取結單的英文版，請致電個人客戶熱線：3988 2388 或企業客戶熱線：3988 2288 辦理申請。  
If you wish to receive future statements in the English Version, please feel free to contact our  
Personal Customer Hotline at 39882388 / Corporate Customer Hotline at 39882288 for application.  
南洋商業銀行有限公司 (「南商」)、集友銀行有限公司及中銀信用卡 (國際) 有限公司是中國銀行 (香港) 有限公司 (「中銀香港」) 的附屬機構。南洋商業銀行 (中國) 有限公司 (「南商中國」) 是中銀香港通過其全資附屬機構南商在中國內地成立並全資擁有的一家商業銀行。客戶服務熱線：(86)800-830-2056 (於中國內地以固網電話撥打) 或 (852)2928-2888 (於中國內地以外撥打)。網址：www.ncbchina.cn

\*\*\* 完 \*\*\*

Certified True Copy of the Original

SHUM WAH NIN LARRY  
SFC Licensed Person (CE No:AOL348)  
Date: 15-10-2014

使用人民幣相關服務的非香港居民客戶 (包括其賬戶的被授權簽字人) 在獲發香港身份證後，須盡快攜同香港身份證、旅遊證件及中銀香港的存摺 (如適用) 親臨中銀香港任何一家分行辦理更新個人資料申請手續。如有查詢，請致電本行個人客戶服務熱線 (852) 3988 2388。  
Non-Hong Kong resident customers using the RMB-related services (including the authorised signatories of their accounts) should bring along their Hong Kong identity cards, travel documents and BOCHK passbook(s) (if applicable) to any of BOCHK's branches in person to update their personal particulars as soon as practicable should they have obtained Hong Kong identity cards. Please call our Personal Customer Service Hotline at (852) 3988 2388 for any enquiry.

A5

致： 中银国际证券有限公司  
业务营运部

加开附属账户

本人/吾等为中银国际证券有限公司之客户，现在持有之账户资料如下：

账户名称：HUNG CHUN

账户号码：6696-

1. 请取消表格 A 内之本人/吾等现持之附属账户（「取消附属账户」）并继续持有及/或加开表格 B 内之附属账户（「附属账户」）

表格 A: 取消附属账户	表格 B: 附属账户
<input checked="" type="checkbox"/> 1000 <input type="checkbox"/> 2000 <input type="checkbox"/> 1888	<input type="checkbox"/> 1000 <input checked="" type="checkbox"/> 2000 <input type="checkbox"/> 1888
<input type="checkbox"/> 8000 <input type="checkbox"/> 8200 <input type="checkbox"/> 8300	<input type="checkbox"/> 8000 <input type="checkbox"/> 8200 <input type="checkbox"/> 8300
<input type="checkbox"/> 其他 (请注明):	<input type="checkbox"/> 其他 (请注明):

2. 网上服务

☐ 本人/吾等之附属账户不须要网上服务。

☒ 本人/吾等同意现有之网上登入名称及密码适用于所有附属账户；如适用。

☐ 本人/吾等确认未曾申请网上登入服务。本人/吾等现同意申请网上服务，此服务适用于所有附属账户；如适用。以下为 3 个本人/吾等希望能使用之登入名称。  
(请提供 6 至 15 个数字或字母，不能加入空格或符号。)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

3. 本人/吾等现授权贵公司使用本人/吾等于早前申请账户时所提供之所有开户资料作为开立附属账户之用（「资料」）。本人/吾等确认本人/吾等之资料均与准确无误。

4. 资产组合之调动：



☒ 本人/吾等现授权贵公司就取消附属账户内之所有持仓 (包括现金、证券及/或合约(如有))转移至下列之附属账户：

☐ 1000 ☒ 2000 ☐ 1888 ☐ 8000 ☐ 8200 ☐ 8300 ☐ 其他 (请注明): \_\_\_\_\_

  
客户签署

Signature  
Verified By AM

29/12/2014  
日期

For Internal Use Only	
AE / RM Name (Closed Sub-account(s)) (Code: 611) <u>LARRY CHUNG</u>	AE / RM Name (Sub-account(s)) (Code: 611) <u>LARRY CHUNG</u>
AE / RM Signature (Closed Sub-account(s)) 	AE / RM Signature (Sub-account(s)) 
Team Head Signature (Closed Sub-account(s)) <u>Franki Lal</u> 30 DEC 2014	Team Head Signature (Sub-account(s)) <u>Franki Lal</u> 30 DEC 2014

ISD 083-C/01

# 账户申请表格



中銀國際證券有限公司  
BOCI Securities Limited

A3

中銀國際證券有限公司  
香港中環花園道1号中銀大廈20楼  
香港中環皇后大道中181号新纪元广场18楼  
中央编号: AAC298

For internal use only

Sales / RM Code: AE611

Referral Code: \_\_\_\_\_

Account No.: \_\_\_\_\_

Group ID: \_\_\_\_\_

Comm Code: \_\_\_\_\_

Account risk level:

☒ high ☒ medium ☐ low

## 第A部份 基本资料

账户名称 (英文)

HUNG CHIN

账户号码 (适用于现有客户)

6696 -

账户种类:

☒ 个人账户

☐ 联名账户 - 请注明联名账户持有人总人数 ☐

☐ 公司账户

账户持有人之身份证 / 护照号码 (适用于个人 / 联名账户)

公司注册证明书编号 (适用于公司账户)

## 第B部份 需要服务种类

本人 / 吾等欲开立及维持交易账户, 作为对以下产品交易之用:

☐ 现金证券

☒ 孖展证券

☐ 期货 / 指数期权 / 商品期权

☐ 股票期权

☐ 杠杆式外汇买卖

☐ 投资移民账户

☐ 其他: \_\_\_\_\_



**第C部份 申请网上交易服务****C-1 网上证券交易服务**

☒ 需要 (请继续填写余下的C-1部份) ☐ 不需要

☒ 本人 / 吾等愿意使用本人 / 吾等现有之网上证券账户登入名称登入本人 / 吾等新开立的证券账户。

☐ 本人 / 吾等愿意申请一个全新的网上证券账户登入名称以登入新开立的证券账户。

请提供三个网上账户登入名称选择 (6 - 15个数字或字母, 不能加入空格和符号。例: paulchan123)

第一网上服务用户	第二网上服务用户 (联名账户必须填写, 公司账户可选择性填写)
1.	1.
2.	2.
3.	3.

**C-2 网上期货及商品交易服务**

☐ 需要 ☒ 不需要

**C-3 网上杠杆式外汇交易服务**

☐ 需要 ☒ 不需要

**第D部份 账户操作**

现有客户不须填写此部份。新增产品交易的账户运作会按现有账户设定维持不变。

**D-1 签署安排 (只适用于联名账户)**

有关决定吾等账户操作 (包括提款及资产转移) 之有效文件, 吾等决定必须按照以下签署方式处理:

☐ 由任何单一一方账户持有人签署 ☒ 由联名账户持有人同时签署

**D-2 公司通讯 (只适用于证券账户)**

阁下是否希望收取有关未以阁下名义登记持有但存放于香港中央结算系统内证券之公司通讯?

☒ 否

☐ 是。本人 / 吾等现授权中银国际证券有限公司, 向香港中央结算有限公司及 / 或有关过户登记处披露本人 / 吾等之名称及通讯地址。本人 / 吾等承诺若该等资料有所更改时, 必须立即通知中银国际证券有限公司, 并知悉就此事宜中银国际证券有限公司只负责向上述机构披露本人 / 吾等之名称及通讯地址。



<b>D - 3 结单寄发</b>	
请选择下列 <u>其中一种</u> 方式收取结单：	
<input checked="" type="checkbox"/> 电子结单*	电子日结单及月结单将发送至阁下之基本电邮地址
<input type="checkbox"/> 额外电邮地址以收取电子结单复本 (只适用于公司账户)	<input type="text"/>
<p>*倘若电邮通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止透过电邮向阁下发出结单。结单将以邮寄方式发送至阁下后向我司提供之通讯地址。</p>	
<input type="checkbox"/> 书面结单	日结单及月结单将以邮寄方式发送至阁下之通讯地址 (联联名账户)。书面结单将寄至账户持有人之通讯地址)
语言选择： <input type="checkbox"/> 英文 <input checked="" type="checkbox"/> 简体中文	
<b>D - 4 即时交易确认短讯</b>	
<input type="checkbox"/> 需要	本人 / 吾等希望透过手提电话接收证券及 / 或期货及商品交易的即时确认短讯。请把即时确认短讯发送至致账户持有人已登记的香港手提电话。
<input type="checkbox"/> 证券账户 (申请人须同时申请网上证券交易服务 (C-1部分))	
<input type="checkbox"/> 期货 / 商品 / 股票期权账户	
<p>即时交易确认短讯服务只适用于香港手提电话号码并视乎网络供应商是否提供该等服务。倘若电邮通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止向阁下发出交易确认短讯。</p>	
<input checked="" type="checkbox"/> 不需要	
<b>D - 5 每日成交总结 (只适用于公司账户)</b>	
<input type="checkbox"/> 需要 (请继续填写余下的 D - 5 部份)	<input checked="" type="checkbox"/> 不需要
请选择下列 <u>其中一种</u> 方式收取每日成交总结：	
<input type="checkbox"/> 传真	<input checked="" type="checkbox"/> 公司传真号码
<input type="checkbox"/> 额外传真号码以收取交易总结复本	<input type="text"/>
<input type="checkbox"/> 电邮	<input checked="" type="checkbox"/> 基本电邮地址
<input type="checkbox"/> 额外电邮地址以收取交易总结复本	<input type="text"/>
<p>倘若通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止向阁下发出每日成交总结。</p>	

**第E部份 申请人之声明****E-1 申请人确认书**

于签署此账户申请表前，敬请：

- 注意所有与中银国际证券有限公司完成或透过中银国际证券有限公司进行之交易均受客户协议（定义请参阅下文）之条件及条款所限制；及
- 细阅已按照阁下所选择的语言（英文或中文）而提供予阁下的客户协议（包括风险披露声明），提出问题及征求独立的意见（如阁下有此意愿）。

(适用于新客户)

- ☐ 本人 / 吾等确认已收取中银国际证券有限公司之客户协议（包括协议所有部份及附录）、风险披露声明、客户资料声明、账户申请表及其他与是次开户有关的协议及文件（如适用）（合称「客户协议」）及确认客户协议（包括风险披露声明）是按照本人 / 吾等所选择的语言（英文或中文）而提供，并已邀请本人 / 吾等阅读该客户协议（包括风险披露声明），提出问题及征求独立的意见（如本人 / 吾等有此意愿）。本人 / 吾等确认本人 / 吾等已仔细阅读，充分理解并接受载于客户协议内（包括风险披露声明）的所有条款和规定，并同意遵守客户协议（包括风险披露声明）可能会不时修改的所有条款和规定。

(适用于现有客户)

- ☒ 本人 / 吾等确认已备有早前由中银国际证券有限公司提供之客户协议（包括协议所有部份及附录）、风险披露声明、客户资料声明、账户申请表及其他与是次开户有关的协议及文件（如适用）（合称「客户协议」）及并不需要另一套客户协议（包括风险披露声明）。本人 / 吾等明白本人 / 吾等有权随时要求中银国际证券有限公司提供另一套客户协议（包括风险披露声明）及 / 或本人 / 吾等随时可以于中银国际证券有限公司网页内获取一套客户协议（包括风险披露声明）。本人 / 吾等确认客户协议（包括风险披露声明）是按照本人 / 吾等所选择的语言（英文或中文）而提供。本人 / 吾等并已被邀请仔细阅读该客户协议（包括风险披露声明），提出问题及征求独立的意见（如本人 / 吾等有此意愿）。本人 / 吾等确认本人 / 吾等已仔细阅读，充分理解并接受载于客户协议内（包括风险披露声明）的所有条款和规定，并同意遵守客户协议（包括风险披露声明）可能会不时修改的所有条款和规定。

本人 / 吾等进一步确认及同意，若因：(一) 中银国际证券有限公司之失误而导致本人 / 吾等蒙受损失，责任赔偿将限于根据证券及期货条例成立之投资者赔偿基金规定的范围内（如适用）；(二) 假若证券寄存于中银国际证券有限公司或根据客户协议买入并予香港以外持有，本人 / 吾等便可能不能享有香港法例给予该等证券的同等保障，以及可能不能享有如同在香港持有该等证券的相同权利。

**E-2 申请人声明**



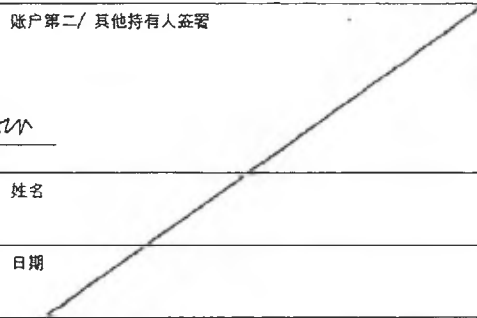
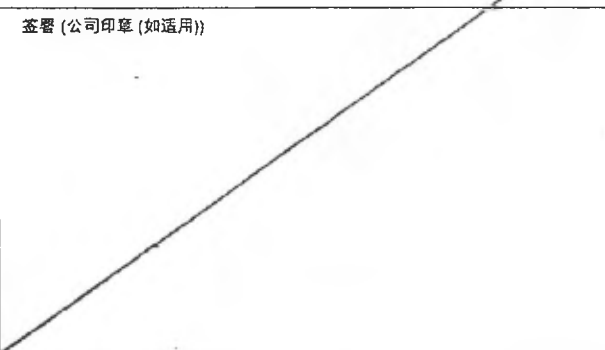
就有关是次新开 / 新增账户之申请，本人 / 吾等特此授权中银国际证券有限公司使用本人 / 吾等在客户协议中所提供的资料（包括本人 / 吾等在申请现有账户时所提供的资料）（下称「客户资料」）。本人 / 吾等确认有关客户资料在任何方面均为属实、完整及正确，及对客户协议中的陈述于下述日期均为准确。中银国际证券有限公司获授权随时联络任何人，包括但不限于本人 / 吾等之银行、经纪、或任何信用机构，以求证实客户资料。

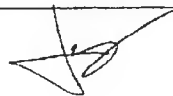
本人 / 吾等承诺如客户资料有任何变更，本人 / 吾等将尽快以书面通知中银国际证券有限公司。除非中银国际证券有限公司接收到本人 / 吾等更改有关内容的书面通知，中银国际证券有限公司有权在任何情况下完全依赖本人 / 吾等的证明及确认。

**E-3 申请人个人资料使用同意书**

本人 / 吾等已仔细阅读，完全理解并同意接受并遵守载于客户协议附录一及二（如适用）有关个人资料（私隐）条例（香港法例第486章）的通知及声明。尤其是：

- ☐ 本人 / 吾等同意使用本人 / 吾等的客户资料作为与本人 / 吾等于中银国际证券有限公司开立或继续维持账户，及中银国际证券有限公司向本人 / 吾等提供金融服务有关的直接促销之用。
- ☐ 本人 / 吾等同意中银国际证券有限公司、其任何集团公司或其他任何挑选之金融、保险、电信服务提供商使用本人 / 吾等的客户资料作为直接促销与本人 / 吾等于中银国际证券有限公司开立或继续维持之账户，及中银国际证券有限公司向本人 / 吾等提供金融服务无关的其他金融、保险或电讯产品 / 服务之用。

(申请公司账户适用)	
<input type="checkbox"/> 如吾等在与中银国际证券有限公司进行业务交易过程中向中银国际证券有限公司提供或被中银国际证券有限公司所持持有吾等任何代表 (包括董事、雇员、代理、客户 (直接或间接) 或关联方) 或任何第三方的个人资料或数据, 吾等承诺并声明, 吾等已经获得吾等代表的相关同意, 准许中银国际证券有限公司根据客户协议附录一和附录二中所述目的和要求使用、处理、处置、分享或转移这些资料或数据, 并且吾等同意将在中银国际证券有限公司提出请求时及时向中银国际证券有限公司提供有关上述同意的证明。	
E-4 申请人签署	
个人 / 联名账户适用	
账户持有人签署  Signature Verified By 	账户第二 / 其他持有人签署 
姓名 HUNG CHIN	姓名
日期 29/12/2014	日期
公司账户适用	
签署 (公司印章 (如适用)) 	获授权人士姓名  
	获授权人士姓名 (如有)  
	日期  

只供内部使用	
<b>持牌人士声明</b> 本人在此确认:	
<input checked="" type="checkbox"/> 本人已检查上述申请人之身份证明文件或公司注册文件之原本, 并见证上述申请人之签名。	
<input checked="" type="checkbox"/> 账户申请人已被提供按照其选择语言 (英文或中文) 的客户协议 (包括风险披露声明), 本人并且已邀请账户申请人阅读该客户协议 (包括风险披露声明), 提出问题及征求独立的意见 (如账户申请人有此意愿)。	
<input checked="" type="checkbox"/> 本人已向账户申请人解释, 假若账户申请人现受限于任何从事证券及期货条例界定的受规管活动的持牌法团或注册机构, 账户申请人必须向中银国际证券有限公司提供其雇主所发出的同意书以支持此账户之申请。	
持牌人士签署 	持牌人士姓名 LARRY SHUM
中央编号 A06348	日期 29/12/2014

# CUSTOMER INFORMATION STATEMENT - INDIVIDUAL / JOINT ACCOUNT



中銀國際證券有限公司  
BOCI Securities Limited

## BOCI Securities Limited ("BOCIS")

20 / F, Bank of China Tower, 1 Garden Road, Hong Kong  
18 / F, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong  
CE No.: AAC298

Please complete in BLOCK letters.

TYPE OF ACCOUNT	
<input checked="" type="checkbox"/> Individual Account /	
<input type="checkbox"/> Joint Account (Each of the joint account holders (other than the principal account holder) shall complete the Customer Information Statement - Joint Account Holder)	

PRINCIPAL / SOLE ACCOUNT HOLDER'S PERSONAL INFORMATION	
Name In English HUNG CHIN /	Name In Chinese 熊戰 /
Former Name / Alias in English (if any) /	Former Name / Alias in Chinese (if any) /
I.D. / Passport No. [REDACTED] /	Gender <input checked="" type="checkbox"/> Male <input type="checkbox"/> Female
Nationality CHINESE /	Other Nationality (if applicable) /
Date of Birth [REDACTED] 1966 / yyyy	Place of Birth GUANGDONG /
U.S. Tax Resident <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No /	U.S. Green Card Holder <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No /
Home Phone No. [REDACTED] /	Mobile Phone No. 853-6660172 /
Fax No. [REDACTED] /	Contact No. (phone or fax) contains U.S. Country Code <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No /
Primary Email Address hungchin@126.com / This email address shall be used for accounts' operation, activation of online trading service and receipt of all correspondence, including electronic statement (if applicable)	

- 1 -

ESR-060A-E/02



Residential Address (P.O. Box not accepted) FLAT C 46/F BLOCK 2 THE ZENITH 258 QUEEN'S RD EAST WANCHAI, HK (Postal Code: )		
Permanent Address (if different from above) (P.O. Box not accepted) (Postal Code: )		
Nature of Occupancy <input type="checkbox"/> With Parents <input type="checkbox"/> Owned (No mortgage) <input checked="" type="checkbox"/> Mortgaged / Monthly Installment \$ 20k <input type="checkbox"/> Relative's <input type="checkbox"/> Staff Quarters <input type="checkbox"/> Rented / Monthly Rental \$		
Employment Status <input type="checkbox"/> Self-employed <input checked="" type="checkbox"/> Full-time Employed <input type="checkbox"/> Part-time Employed <input type="checkbox"/> Not Currently Employed <input type="checkbox"/> Retired <input type="checkbox"/> Full-time Student <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Please specify)		
Employer's Name 馮福網絡安全諮詢有限公司 馮福網絡安全諮詢有限公司	Nature of Business IT	
Office Phone No. 853 1111 6660 1729	Year(s) with Existing Employer 20 year	Position CEO
Office Address 七灣公路 葡京花園 七灣公路 葡京花園 12樓E		
Correspondence Address <input checked="" type="checkbox"/> Residential <input type="checkbox"/> Permanent <input type="checkbox"/> Office <input type="checkbox"/> Others		
Relationship with Joint Account Holder(s) (for joint account only)		

LICENSED / REGISTERED PERSON DECLARATION	
Are you, a licensed / registered person, or an employee of a licensed corporation / registered institution (e.g. employee of a brokerage firm / bank) as defined under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, please specify:	
Do you have any relative(s) working in BOCI Group (which includes BOC International Holdings Limited and its subsidiaries)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, please specify:	
Name	Relationship



**ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT**

Are you the ultimate beneficial owner(s) of the Account? (This information is required under the Client Identity Rule Policy of the Securities and Futures Commission.)

☒ Yes ☐ No, please provide details of the ultimate beneficial owner(s):

Name in English	Name in Chinese
Former Name / Alias in English (if any)	Former Name / Alias in Chinese (if any)
I.D. / Passport No.	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality	Other Nationality (if applicable)
Date of Birth <span style="border: 1px solid black; padding: 0 5px;">  </span> <span style="border: 1px solid black; padding: 0 5px;">  </span> <span style="border: 1px solid black; padding: 0 10px;">  </span>	Place of Birth
U.S. Tax Resident <input type="checkbox"/> Yes <input type="checkbox"/> No	U.S. Green Card Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
Contact No. <span style="border: 1px solid black; padding: 0 20px;">  </span>	Contact No. (phone and/or fax) contains U.S. Country code <input type="checkbox"/> Yes <input type="checkbox"/> No
Address	
Do you, your spouse or any company controlled by you (with 35% or more voting rights) maintain any other account(s) with BOCIS? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, please provide details:	
Account Name	Account No.
Account Name	Account No.

**APPLICANT'S BANK DETAILS**

Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.

Bank Account (Hong Kong) <input type="checkbox"/> USD <input checked="" type="checkbox"/> HKD
Bank Name <b>BOC(HK)</b>
Account Holder's Name <b>HUNG CHIN</b>
Account No. <span style="background-color: black; color: black;">[REDACTED]</span> <b>684-4</b>
Bank Account (Overseas)
Bank Name
Bank Address
Account Holder's Name
Account No.
Currency

APPLICANT'S FINANCIAL PROFILE AND INVESTMENT EXPERIENCE		
(This information is required under the "know-your-client requirements" of the Securities and Futures Commission.)		
Income and Asset		
<b>Estimated Annual Income (HK\$)</b> <input type="checkbox"/> Under HK\$200,000 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input checked="" type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> Above HK\$5,000,000 <input type="checkbox"/> Other Income Source: _____	<b>Approximate Net Asset Value (HK\$(Total Assets - Total Liabilities))</b> <input type="checkbox"/> Under HK\$500,000 <input type="checkbox"/> HK\$500,000 - HK\$3,000,000 <input checked="" type="checkbox"/> HK\$3,000,001 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$30,000,000 <input type="checkbox"/> Above HK\$30,000,000	
Educational Background		
<input type="checkbox"/> Primary School <input type="checkbox"/> Secondary School <input checked="" type="checkbox"/> University or above <input type="checkbox"/> Others: _____		
Source(s) of Funds for This Account (you may choose more than one option)		
<input type="checkbox"/> Sale of Property <input checked="" type="checkbox"/> Savings from Earnings / Bonus <input type="checkbox"/> Sale of Investments <input type="checkbox"/> Pension <input type="checkbox"/> Return on Investments <input type="checkbox"/> Inheritance / Gift <input type="checkbox"/> Commission <input type="checkbox"/> Others, please specify: _____		
Investment Objective(s) and Strategy(ies) (you may choose more than one option)		
<input type="checkbox"/> Capital Preservation <input checked="" type="checkbox"/> Building Wealth <input type="checkbox"/> Speculation <input type="checkbox"/> Regular Income <input type="checkbox"/> Beat Inflation <input type="checkbox"/> Hedging <input type="checkbox"/> Retirement <input type="checkbox"/> Children Education Fund <input type="checkbox"/> Others: _____		
Investment Period		
<input type="checkbox"/> Short Term (i.e. less than 1 year) <input checked="" type="checkbox"/> Short to Medium Term (i.e. 1 to 5 years) <input type="checkbox"/> Medium Term (i.e. 6 to 10 years) <input type="checkbox"/> Long Term (i.e. over 10 years)		
Investment Experience		
Products	Frequency of Transactions Per Annum	Investment Experience (year)
Listed Shares	<input type="checkbox"/> < 20 <input checked="" type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input checked="" type="checkbox"/> > 5
Debt Securities / Bonds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
Leveraged Foreign Exchange	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
Commodities / Bullion / Precious Metals	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
OTC Structured Products		
• Principal Protected Products	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5

• Non-Principal Protected Products			
Vanilla Derivatives	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
Exotic Derivatives	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
Exchange Traded Derivative Products (traded in Hong Kong or elsewhere)			
• Warrants <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Callable Bull / Bear Contracts <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Futures and Options Contracts <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Equity Linked Notes / Equity Linked Instruments <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Other Products (please specify) _____ <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
Investment Funds			
• Mutual Funds / Unit Trusts	<input checked="" type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input checked="" type="checkbox"/> > 5	
• Hedge Funds / Private Equity Funds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Leveraged and Specialty Exchange Traded Funds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Other Funds (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
Other relevant investment experience:  _____			

#### APPLICANT'S DECLARATION

I represent that all information contained in this Customer Information Statement is in all respects true, complete and correct. BOCIS is authorized at any time to contact any person, including but without limitations to my banks, brokers or any credit agency, for purposes of verifying the customer information contained herein.

I declare that I am not currently employed by any entity licensed or registered to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong). Otherwise, I understand that I am required to provide BOCIS written consent from my employer before I open and operate any account with BOCIS. I undertake to promptly notify BOCIS if I become or cease to be employed by any entity licensed or registered to carry out regulated activities.

I undertake to notify BOCIS in writing forthwith upon any changes to any of the information contained in this Customer Information Statement. BOCIS is entitled to rely fully on any of my certification and confirmation contained herein for all purposes, unless BOCIS receives notice in writing of any changes thereof.

#### APPLICANT'S SIGNATURE

(THIS SIGNATURE WILL BE TREATED AS SPECIMEN SIGNATURE)

Applicant's Signature:

A handwritten signature in black ink, consisting of a stylized, cursive script that is difficult to decipher.

Date:

15-10-2014

## ACCOUNT APPLICATION FORM

中銀國際證券有限公司  
BOCI Securities Limited

A3

**BOCI Securities Limited ("BOCIS")**20 / F, Bank of China Tower, 1 Garden Road, Hong Kong  
18 / F, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong  
CE No.: AAC298

For internal use only

Sales / RM Code: AE611

Referral Code: \_\_\_\_\_

Account No.: \_\_\_\_\_

Group ID: \_\_\_\_\_

Comm Code: \_\_\_\_\_

Account risk level:

☒ high ☒ medium ☐ low

Please complete in BLOCK letters.

## SECTION A GENERAL INFORMATION

Account Name

HUNG CHIN

Account No. (for existing customer)

/

Type of Account:

☒ Individual Account /☐ Joint Account - Please state the total number of joint account holders: ☐ Corporate AccountI.D. / Passport No. of Principal Account Holder  
(for individual / joint account)Certificate of Incorporation No.  
(for corporate account)/

## SECTION B TYPE OF SERVICE REQUIRED

I / We would like to open and maintain trading account(s) to trade the following product(s):

☒ Cash Securities /☐ Margin Securities☐ Futures / Index Options / Commodity Options☐ Stock Options☐ Leveraged Foreign Exchange Trading☐ Designated Account for Capital Investment Entrant Scheme☐ Others: \_\_\_\_\_



**SECTION C SUBSCRIPTION OF ONLINE TRADING SERVICE****C - 1 Online Trading Service for Securities Trading**
☒ Required (Please continue to complete the rest of C-1) ☐ Not Required

☐ I / We wish to use my / our existing online securities account login ID for my / our new securities trading account.

☒ I / We wish to subscribe a new online securities account login ID for my / our new securities trading account.

Please provide 3 choices for online account login ID (6-15 alphanumeric, no space and symbol, e.g. paulchan123)

First Online Service User	Second Online Service User (Mandatory for joint account and optional for corporate account)
1. user8199	1.
2.	2.
3.	3.

**C - 2 Online Trading Service for Futures and Commodities Trading**
☐ Required ☒ Not Required
**C - 3 Online Leveraged Foreign Exchange Trading**
☐ Required ☒ Not Required
**SECTION D OPERATION OF ACCOUNT**

Existing customer is not required to complete this section. The operation of account for new additional product(s) shall be same as the existing settings.

**D - 1 Signing Arrangement (for joint account only)**

We decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of our account must be signed in the following manner:

☐ Singly by either account holder

☐ Jointly by joint account holders
**D - 2 Corporate Communication (for securities account only)**

Do you wish to receive the corporate communication for securities held in the CCASS Depository in Hong Kong of which you are the non-registered underlying owner(s)?

☒ No

☐ Yes, I / we hereby authorize BOCIS to disclose my / our name and correspondence address to the Hong Kong Securities Clearing Company Limited and / or the relevant registrars of the listed issuers. I / We undertake to advise BOCIS immediately of any change of such particulars and acknowledge that the sole duty of BOCIS in this respect is to dispatch my / our name and correspondence address to the aforesaid entities.

**D – 3 Delivery of Statements**Please choose one of the following media for the delivery of statements:☒ **Electronic Statement\***

Daily and monthly electronic statements will be sent to your primary email address

☐ Additional email address for duplicate statements (for corporate account only)

\*BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of statements by email resulting from the breakdown or failure of the transmission of email communication facilities. Statements will be sent to your latest correspondence address provided to BOCIS.

☐ **Physical Statement**

Daily and monthly statements will be sent to your correspondence address by mail. (for joint account, statements will be sent to the correspondence address of the principal account holder)

Choice of Language: ☐ English ☒ Simplified Chinese**D – 4 SMS Instant Trade Confirmation**☐ **Required**

I / We wish to receive execution results of the securities and / or futures and commodities orders via mobile phone's Short Message Service ("Instant Trade Confirmation"). Please send Instant Trade Confirmation to the registered Hong Kong mobile number of the principal account holder.

☐ Securities Account (applicant has to subscribe online trading service for securities trading (Section C-1) simultaneously)☐ Futures/ Commodities/ Stock Options Account(s)

Instant Trade Confirmation service is only available to Hong Kong mobile number only, subject to service availability of network providers. BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of Instant Trade Confirmation resulting from the breakdown or failure of the transmission or communication facilities.

☒ **Not Required****D – 5 Daily Trade Summary (for corporate account only)**☐ **Required** (Please continue to complete the rest of D-5)☒ **Not Required**Please choose one of the following media for receiving daily trade summary:☐ **Fax**☒ Office fax no.☐ Additional fax no. for duplicate trade summary☐ **Email**☒ Primary email address☐ Additional email address for duplicate trade summary

BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of daily trade summary resulting from the breakdown or failure of the transmission or communication facilities.

**SECTION E APPLICANT'S DECLARATION****E - 1 Applicant's Acknowledgement and Confirmation**

Prior to signing this Account Application Form, please:

- note that all transactions to be concluded with or through BOCIS shall be subject to the terms and conditions of the Customer Agreement (as defined below); and
- read the Customer Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish.

(For New Customer)

- ☒ I / We acknowledge my / our receipt of the Customer Agreement of BOCIS (including all Sections thereunder and Appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "Customer Agreement") and confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I / we so wish. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

(For Existing Customer)

- ☐ I / We confirm that I / we have the Customer Agreement of BOCIS (including all Sections thereunder and Appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "Customer Agreement") which I / we have previously been provided with and do not require another copy of the Customer Agreement (including Risk Disclosure Statement). I / We understand that I am / we are entitled to request a further copy of the Customer Agreement (including Risk Disclosure Statement) at any time from BOCIS and / or I / we can access the Customer Agreement (including Risk Disclosure Statement) at any time on the website of BOCIS. I / We confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I / we so wish. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

I / We further acknowledge and agree that: (a) in the event of BOCIS' default and me / us having incurred a loss as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and (b) where securities are deposited with BOCIS or purchased pursuant to the Customer Agreement and held outside Hong Kong, I / we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and I / we may not have the same rights as I / we have in respect of securities held in Hong Kong.

**E - 2 Applicant's Declaration**

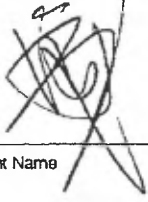

For the purpose of opening any new / additional Account(s), I / we hereby authorize BOCIS to use the information provided by me / us in the Customer Agreement (including information previously provided by me / us for the existing Account(s)) to BOCIS ("Customer Information"). I / We represent that all Customer Information is in all respects true, complete and correct and that the representations in the Customer Agreement are accurate as at the date hereof. BOCIS is authorized at any time to contact any person, including but without limitations to my / our banks, brokers or any credit agency, for purposes of verifying the Customer Information.

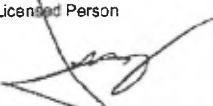
I / We undertake to notify BOCIS in writing forthwith upon any changes in any such Customer Information. BOCIS is entitled to rely fully on any of my / our certification and confirmation contained for all purposes, unless BOCIS receives prior notice in writing of any changes thereof.

**E - 3 Applicant's Consent to Use of Personal Data**

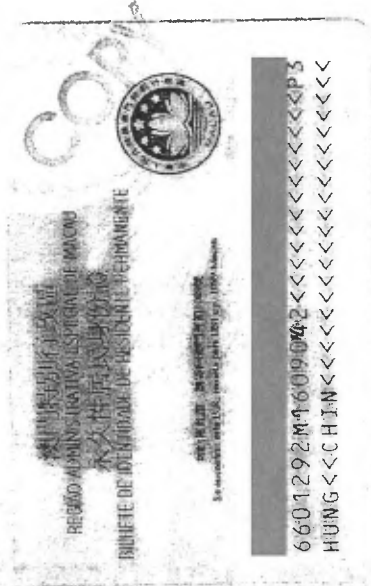
I / We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Appendix I and II (as applicable) to the Customer Agreement. In particular,

- ☐ I / We hereby consent to the use of my / our Customer Information for direct marketing directly related to the opening or continuation of my / our accounts with BOCIS and the provision of financial services by BOCIS to me / us.
- ☐ I / We hereby consent to the use of my / our Customer Information for direct marketing by BOCIS, any Group Company or other carefully selected financial, insurance, telecommunications service providers of other financial, insurance or telecommunications products and / or services not directly related to the opening or continuation of my / our accounts with BOCIS and the provision of financial services by BOCIS to me / us.

(Corporate account applicant only)	
<input type="checkbox"/> Where personal data or information relating to any of our representatives (including directors, employees, agents, customer (direct or indirect) or affiliates) or any third party is provided to or held by BOCIS in the course of its business dealings with BOCIS, we undertake and represent that we have obtained the relevant consent of our representatives to enable BOCIS to use, process, deal, share or transfer such data or information in accordance with the purposes and requirements of Appendix I and II (as applicable) of the Customer Agreement and we agree that we will promptly provide evidence of such consents as and when requested by BOCIS.	
<b>E - 4 Applicant's Signature</b>	
<i>For Individual / Joint Account</i>	
Principal Account Holder's Signature 	Second / Other Account Holder's Signature
Print Name HUNG CHIN	Print Name
Date 15/10/2014	Date
<i>For Corporate Account</i>	
Signature (company chop (if any)) 	Print Name of Authorized Person
	Print Name of Authorized Person (if any)
	Date

FOR INTERNAL USE ONLY	
<b>Licensed Person's Declaration</b> I hereby solemnly swear that:	
<input checked="" type="checkbox"/> I have witnessed the signature and inspected the original identity or company establishment documents of the above-named applicant.	
<input checked="" type="checkbox"/> The applicant has been provided with the Customer Agreement (including Risk Disclosure Statement) in the language of the applicant's choice (English or Chinese); and the applicant has been invited to read the Customer Agreement (including Risk Disclosure Statement), ask questions and take independent advice if he / she so wishes.	
<input checked="" type="checkbox"/> I have already explained to the applicant that if he / she is currently employed by any registered institution or licensed corporation to carry on regulated activities, the applicant is required to provide BOCIS a written consent from his / her employer in support of this account application.	
Signature of Licensed Person 	Print Name of Licensed Person CARRY SHUM
CE No. AOL 348	Date 15-10-2014

CONFIDENTIAL



Certified True Copy of the Original

*[Handwritten signature]*

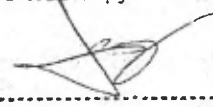
SHUM WAH NIN LARRY  
SFC Licensed Person (CE No. A0L348)

Date: 15-10-2014



3

Certified True Copy of the Original



SHUM WAH NIN LARRY  
SFC Licensed Person (CE No:AOL348)  
Date: 15-10-2014



Certified True Copy of the Original





中國銀行(香港)有限公司  
BANK OF CHINA (HONG KONG) LIMITED

COPY

G2

Mr HUNG CHIN /  
FLAT C 46/F BLOCK 2  
THE ZENITH 258 QUEEN'S RD EAST  
WAN CHAI HK

012-926 -1

香港花園道一號

客戶號	969-7
月結單日期	2014/08/29 ✓
頁數	1

綜合月結單

往來 / 儲蓄存款賬戶

戶口種類	賬戶號碼	貨幣	原幣結餘	等值港幣結餘 (結欠 DR)#1
往來賬戶 港元	684-4	HKD	6,738.39	6,738.39

往來 / 儲蓄存款賬戶交易記錄

日期/貨幣	交易摘要	提取	存入	原幣結餘 (結欠 DR)
往來賬戶 港元	684-4			
HKD	B/F BAL.			5,500.00
2014/08/25	TRS		2,321,238.39	2,326,738.39
	CHATS/12140825BKR11155			
2014/08/27	CCQ 222571	2,320,000.00		6,738.39

#1 今日參考牌價 (港元兌換)

種類	參考牌價	種類	參考牌價	種類	參考牌價	種類	參考牌價
AUD	7.2470250	BCU	3.8568552	CAD	7.1382518	CHF	8.4736497
CNY	1.2614548	DKK	1.3715600	EUR	10.2222500	GBP	12.8665500
HKD	1.0000000	INR	0.1280886	JPY	0.0745910	MOP	0.9699625
MYR	2.4579765	NOK	1.2538019	NZD	6.5030250	SEK	1.1131219
SGD	6.2124248	THB	0.2426425	TWD	0.2593014	USD	7.7500000

如欲查詢本月結單內並未列印的其他貨幣參考匯率，請聯絡本行職員。  
如選擇日後收取結單的英文版，請致電個人客戶熱線：3988 2388，或企業客戶熱線：3988 2288 辦理申請。  
If you wish to receive future statements in the English Version, please feel free to contact our  
Personal Customer Hotline at 39882388 / Corporate Customer Hotline at 39882288 for application.  
南洋商業銀行有限公司(「南商」)、集友銀行有限公司及中銀信用卡(國際)有限公司是中國銀行(香港)有限公司(「中銀香港」)的附屬機構。南洋商業銀行(中國)有限公司(「南商中國」)是中銀香港通過其全資附屬機構南商在中國內地成立並全資擁有的一家商業銀行。客戶服務熱線：(86)800-830-2066(於中國內地以固網電話撥打)或(852)2929-2988(於中國內地以外撥打) 網址：www.ncbchina.cn。

\*\*\* 完 \*\*\*

Certified True Copy of the Original

SHUM WAH NIN LARRY  
SFC Licensed Person (CE No:AOL348)  
Date: 15-10-2014

使用人民幣相關服務的非香港居民客戶(包括其賬戶的被授權簽字人)，在獲發香港身份證後，須盡快攜同香港身份證、旅遊證件及中銀香港的存摺(如適用)親臨中銀香港任何一家分行辦理更新個人資料申請手續。如有查詢，請致電本行個人客戶服務熱線(852)3988 2388。  
Non-Hong Kong resident customers using the RMB-related services (including the authorised signatories of their accounts) should bring along their Hong Kong identity cards, travel documents and BOCHK passbook(s) (if applicable) to any of BOCHK's branches in person to update their personal particulars as soon as practicable should they have obtained Hong Kong identity cards. Please call our Personal Customer Service Hotline at (852) 3988 2388 for any enquiry.



致： 中银国际证券有限公司  
业务营运部

加开附属账户

本人/吾等为中银国际证券有限公司之客户，现在持有之账户资料如下：

账户名称： HUNG CHIN

账户号码： 6696-

1. 请取消表格 A 内之本人/吾等现持之附属账户（「取消附属账户」）并继续持有及/或加开表格 B 内之附属账户（「附属账户」）

表格 A: 取消附属账户	表格 B: 附属账户
<input checked="" type="checkbox"/> 1000 <input type="checkbox"/> 2000 <input type="checkbox"/> 1888	<input type="checkbox"/> 1000 <input checked="" type="checkbox"/> 2000 <input type="checkbox"/> 1888
<input type="checkbox"/> 8000 <input type="checkbox"/> 8200 <input type="checkbox"/> 8300	<input type="checkbox"/> 8000 <input type="checkbox"/> 8200 <input type="checkbox"/> 8300
<input type="checkbox"/> 其他 (请注明):	<input type="checkbox"/> 其他 (请注明):

2. 网上服务

☐ 本人/吾等之附属账户不须要网上服务。

☒ 本人/吾等同意现有之网上登入名称及密码适用于所有附属账户；如适用。

☐ 本人/吾等确认未曾申请网上登入服务。本人/吾等现同意申请网上服务，此服务适用于所有附属账户；如适用。以下为 3 个本人/吾等希望能使用之登入名称。  
(请提供 6 至 15 个数字或字母，不能加入空格或符号。)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

3. 本人/吾等现授权贵公司使用本人/吾等于早前申请账户时所提供之所有开户资料作为开立附属账户之用（「资料」）。本人/吾等确认本人/吾等之资料均与准确无误。

4. 资产组合之调动：


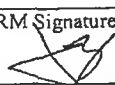
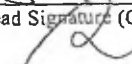
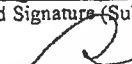
☒ 本人/吾等现授权贵公司就取消附属账户内之所有持仓 (包括现金、证券及/或合约(如有))转移至下列之附属账户：

☐ 1000 ☐ 2000 ☐ 1888 ☐ 8000 ☐ 8200 ☐ 8300 ☐ 其他 (请注明): \_\_\_\_\_

  
客户签署

Signature  
Verified By AM

29/12/2014  
日期

For Internal Use Only	
AE / RM Name (Closed Sub-account(s)) (Code: <u>611</u> ) <u>LARRY SHUM</u>	AE / RM Name (Sub-account(s)) (Code: <u>611</u> ) <u>LARRY SHUM</u>
AE / RM Signature (Closed Sub-account(s)) 	AE / RM Signature (Sub-account(s)) 
Team Head Signature (Closed Sub-account(s))  <u>Franki Lai</u> <u>30 DEC 2014</u>	Team Head Signature (Sub-account(s))  <u>Franki Lai</u> <u>30 DEC 2014</u>

ISD 083-C/01

# 账户申请表格



中銀國際證券有限公司  
BOCI Securities Limited

A3

中銀國際證券有限公司  
香港中环花园道1号中银大厦20楼  
香港中环皇后大道中181号新纪元广场18楼  
中央编号: AAC298

For internal use only

Sales / RM Code: AEGL1

Referral Code: \_\_\_\_\_

Account No.: \_\_\_\_\_

Group ID: \_\_\_\_\_

Comm Code: \_\_\_\_\_

Account risk level:

☒ high ☒ medium ☐ low

## 第A部份 基本资料

账户名称 (英文)

HUNG CHIN

账户号码 (适用于现有客户)

6696 -

账户种类:

☒ 个人账户

☐ 联名账户 - 请注明联名账户持有人总人数 ☐
☐ 公司账户

账户持有人之身份证 / 护照号码 (适用于个人 / 联名账户)

公司注册证明书编号 (适用于公司账户)

## 第B部份 需要服务种类

本人 / 吾等欲开立及维持交易账户, 作为对以下产品交易之用:

☐ 现金证券

☒ 开展证券

☐ 期货 / 指数期权 / 商品期权

☐ 股票期权

☐ 杠杆式外汇买卖

☐ 投资移民账户

☐ 其他: \_\_\_\_\_




**第C部份 申请网上交易服务****C-1 网上证券交易服务**☒ 需要 (请继续填写余下的C-1部份)☐ 不需要☒ 本人 / 吾等愿意使用本人 / 吾等现有之网上证券账户登入名称登入本人 / 吾等新开立的证券账户。☐ 本人 / 吾等愿意申请一个全新的网上证券账户登入名称以登入新开立的证券账户。

请提供三个网上账户登入名称选择 (6 - 15个数字或字母, 不能加入空格和符号, 例: paulchan123)

第一网上服务用户	第二网上服务用户 (联名账户必须填写, 公司账户可选择性填写)
1.	1.
2.	2.
3.	3.

**C-2 网上期货及商品交易服务**☐ 需要☒ 不需要**C-3 网上杠杆式外汇交易服务**☐ 需要☒ 不需要**第D部份 账户操作**

现有客户不须填写此部份。新增产品交易的账户运作会按现有账户设定维持不变。

**D-1 签署安排 (只适用于联名账户)**

有关决定吾等账户操作 (包括提款及资产转移) 之有效文件, 吾等决定必须按照以下签署方式处理:

☐ 由任何单一一方账户持有人签署☒ 由联名账户持有人同时签署**D-2 公司通讯 (只适用于证券账户)**

阁下是否希望收取有关未以阁下名义登记持有但存放于香港中央结算系统内证券之公司通讯?

☒ 否☐ 是, 本人 / 吾等现授权中银国际证券有限公司, 向香港中央结算有限公司及 / 或有关过户登记处披露本人 / 吾等之名称及通讯地址。本人 / 吾等承诺若该等资料有所更改时, 必须立即通知中银国际证券有限公司, 并知悉就此事宜中银国际证券有限公司只负责向上述机构披露本人 / 吾等之名称及通讯地址。

## D-3 结单寄发

请选择下列其中一种方式收取结单：☒ 电子结单\*

电子日结单及月结单将发送至阁下的基本电邮地址

☐ 额外电邮地址以收取电子结单复本 (只适用于公司账户)

\*倘若电邮通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止透过电邮向阁下发出结单。结单将以邮寄方式发送至阁下最后向我司提供之通讯地址。

☐ 书面结单

日结单及月结单将以邮寄方式发送至阁下之通讯地址 (就联名账户，书面结单将寄至账户持有人之通讯地址)

语言选择：☐ 英文 ☒ 简体中文

## D-4 即时交易确认短讯

☐ 需要

本人 / 吾等希望透过手提电话接收证券及 / 或期货及商品交易的即时确认短讯。请把即时确认短讯发送致账户主持有人已登记的香港手提电话。

☐ 证券账户 (申请人须同时申请网上证券交易服务 (C-1部分))☐ 期货 / 商品 / 股票期权账户

即时交易确认短讯服务只适用于香港手提电话号码并视乎网络供应商是否提供该等服务。倘若电邮通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止向阁下发出交易确认短讯。

☒ 不需要

## D-5 每日成交总结 (只适用于公司账户)

☐ 需要 (请继续填写余下的 D-5 部份)☒ 不需要请选择下列其中一种方式收取每日成交总结：☐ 传真☒ 公司传真号码☐ 额外传真号码以收取交易总结复本☐ 电邮☒ 基本电邮地址☐ 额外电邮地址以收取交易总结复本

倘若通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止向阁下发出每日成交总结。

**第E部份 申请人之声明****E - 1 申请人确认书**

于签署此账户申请表前，敬请：

- 注意所有与中银国际证券有限公司完成或透过中银国际证券有限公司进行之交易均受客户协议（定义请参阅下文）之条件及条款所限制；及
- 细阅已按照阁下所选择的语言（英文或中文）而提供予阁下的客户协议（包括风险披露声明），提出问题及征求独立的意见（如阁下有此意愿）。

(适用于新客户)

- ☐ 本人 / 吾等确认已收取中银国际证券有限公司之客户协议（包括协议所有部份及附录）、风险披露声明、客户资料声明、账户申请表格及其他与是次开户有关的协议及文件（如适用）（合称「客户协议」）及确认客户协议（包括风险披露声明）是按照本人 / 吾等所选择的语言（英文或中文）而提供，并已邀请本人 / 吾等阅读该客户协议（包括风险披露声明），提出问题及征求独立的意见（如本人 / 吾等有此意愿）。本人 / 吾等确认本人 / 吾等已仔细阅读，充分理解并接受载于客户协议内（包括风险披露声明）的所有条款和规定，并同意遵守客户协议（包括风险披露声明）可能会不时修改的所有条款和规定。

(适用于现有客户)

- ☒ 本人 / 吾等确认已备有早前由中银国际证券有限公司提供之客户协议（包括协议所有部份及附录）、风险披露声明、客户资料声明、账户申请表格及其他与是次开户有关的协议及文件（如适用）（合称「客户协议」）及并不需要另一套客户协议（包括风险披露声明）。本人 / 吾等明白本人 / 吾等有权随时要求中银国际证券有限公司提供另一套客户协议（包括风险披露声明）及 / 或本人 / 吾等随时可以于中银国际证券有限公司网页内获取一套客户协议（包括风险披露声明）。本人 / 吾等确认客户协议（包括风险披露声明）是按照本人 / 吾等所选择的语言（英文或中文）而提供，本人 / 吾等并已被邀请仔细阅读该客户协议（包括风险披露声明），提出问题及征求独立的意见（如本人 / 吾等有此意愿）。本人 / 吾等确认本人 / 吾等已仔细阅读，充分理解并接受载于客户协议内（包括风险披露声明）的所有条款和规定，并同意遵守客户协议（包括风险披露声明）可能会不时修改的所有条款和规定。

本人 / 吾等进一步确认及同意，若因：(一) 中银国际证券有限公司之失误而导致本人 / 吾等蒙受损失，责任赔偿将限于根据证券及期货条例成立之投资者赔偿基金规定的范围内（如适用）；(二) 假若证券寄存于中银国际证券有限公司或根据客户协议买入并于香港以外持有，本人 / 吾等便可能不能享有香港法例给予该等证券的同等保障，以及可能不能享有如同在香港持有该等证券的相同权利。

**E - 2 申请人声明**


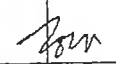
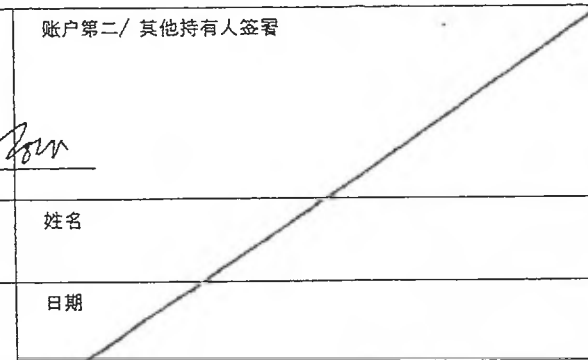
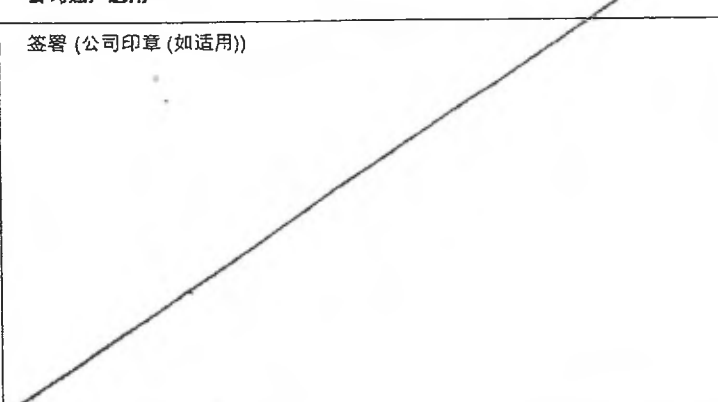
就有关是次新开 / 新增账户之申请，本人 / 吾等特此授权中银国际证券有限公司使用本人 / 吾等在客户协议中所提供的资料（包括本人 / 吾等在申请现有账户时所提供的资料）（下称「客户资料」）。本人 / 吾等确认有关客户资料在任何方面均为属实、完整及正确，及对客户协议中的陈述于下述日期均为准确。中银国际证券有限公司获授权随时联络任何人，包括但不限于本人 / 吾等之银行、经纪、或任何信用机构，以求证实客户资料。

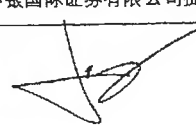
本人 / 吾等承诺如客户资料有任何变更，本人 / 吾等将尽快以书面通知中银国际证券有限公司。除非中银国际证券有限公司接收到本人 / 吾等更改有关内容的书面通知，中银国际证券有限公司有权在任何情况下完全依赖本人 / 吾等的证明及确认。

**E - 3 申请人个人资料使用同意书**

本人 / 吾等已仔细阅读，完全理解并同意接受并遵守载于客户协议附录一及二（如适用）有关个人资料（私隐）条例（香港法例第486章）的通知及声明。尤其是，

- ☐ 本人 / 吾等同意使用本人 / 吾等的客户资料作为与本人 / 吾等于中银国际证券有限公司开立或继续维持账户，及中银国际证券有限公司向本人 / 吾等提供金融服务有关的直接促销之用。
- ☐ 本人 / 吾等同意中银国际证券有限公司、其任何集团公司或其他仔细挑选之金融、保险、电信服务提供商使用本人 / 吾等的客户资料作为直接促销与本人 / 吾等于中银国际证券有限公司开立或继续维持之账户，及中银国际证券有限公司向本人 / 吾等提供金融服务无关的其他金融、保险或电讯产品 / 服务之用。

<b>(申请公司账户适用)</b>	
<input type="checkbox"/> 如吾等在与中银国际证券有限公司进行业务交易过程中向中银国际证券有限公司提供或被中银国际证券有限公司所持有吾等任何代表（包括董事、雇员、代理、客户（直接或间接）或关联方）或任何第三方的个人资料或数据，吾等承诺并声明，吾等已经获得吾等代表的相关同意，准许中银国际证券有限公司根据客户协议附录一和附录二所述目的和要求使用、处理、处置、分享或转移这些资料或数据，并且吾等同意将在中银国际证券有限公司提出请求时及时向中银国际证券有限公司提供有关上述同意的证明。	
<b>E-4 申请人签署</b>	
<b>个人 / 联名账户适用</b>	
账户持有人签署  Signature Verified By 	账户第二 / 其他持有人签署 
姓名 HUNG CHIN	姓名
日期 29/12/2014	日期
<b>公司账户适用</b>	
签署 (公司印章 (如适用)) 	获授权人士姓名
	获授权人士姓名 (如有)
	日期

<b>只供内部使用</b>	
<b>持牌人士声明</b> 本人在此确认：	
<input checked="" type="checkbox"/> 本人已核查上述申请人之身份证明文件或公司注册文件之原本，并见证上述申请人之签名。	
<input checked="" type="checkbox"/> 账户申请人已被提供按照其选择语言（英文或中文）的客户协议（包括风险披露声明），本人并且已邀请账户申请人阅读该客户协议（包括风险披露声明），提出问题及征求独立的意见（如账户申请人有此意愿）。	
<input checked="" type="checkbox"/> 本人已向账户申请人解释，假若账户申请人现受雇于任何从事证券及期货条例界定的受规管活动的持牌法团或注册机构，账户申请人必须向中银国际证券有限公司提供其雇主所发出的同意书以支持此账户之申请。	
持牌人士签署 	持牌人士姓名 LARRY SHUM
中央编号 A02348	日期 29/12/2014

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# CUSTOMER INFORMATION STATEMENT - INDIVIDUAL / JOINT ACCOUNT



中銀國際證券有限公司  
BOCI Securities Limited

## BOCI Securities Limited ("BOCIS")

20 / F, Bank of China Tower, 1 Garden Road, Hong Kong  
18 / F, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong  
CE No.: AAC298

Please complete in BLOCK letters.

### TYPE OF ACCOUNT

☒ Individual Account

☐ Joint Account (Each of the joint account holders (other than the principal account holder) shall complete the Customer Information Statement - Joint Account Holder)

### PRINCIPAL / SOLE ACCOUNT HOLDER'S PERSONAL INFORMATION

Name In English <b>HUNG CHIN</b>	Name In Chinese <b>熊戰</b>
Former Name / Alias in English (if any) /	Former Name / Alias in Chinese (if any) /
I.D. / Passport No. [REDACTED]	Gender <input checked="" type="checkbox"/> Male <input type="checkbox"/> Female
Nationality <b>CHINESE</b>	Other Nationality (if applicable) /
Date of Birth [REDACTED] <b>1966</b> yyyy	Place of Birth <b>GUANGDONG</b>
U.S. Tax Resident <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	U.S. Green Card Holder <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Home Phone No. [REDACTED]	Mobile Phone No. <b>66601729</b> <b>853</b> <b>6660172</b>
Fax No. [REDACTED]	Contact No. (phone or fax) contains U.S. Country Code <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Primary Email Address <b>hungchin@126.com</b> This email address shall be used for accounts' operation, activation of online trading service and receipt of all correspondence, including electronic statement (if applicable)	





Residential Address (P.O. Box not accepted)		
FLAT C 46/F BLOCK 2 THE ZENITH 258 QUEEN'S RD EAST WANCHAI, HK (Postal Code: )		
Permanent Address (if different from above) (P.O. Box not accepted)		
(Postal Code: )		
Nature of Occupancy		
<input type="checkbox"/> With Parents	<input type="checkbox"/> Owned (No mortgage)	<input checked="" type="checkbox"/> Mortgaged / Monthly Installment \$ 20k
<input type="checkbox"/> Relative's	<input type="checkbox"/> Staff Quarters	<input type="checkbox"/> Rented / Monthly Rental \$
Employment Status		
<input type="checkbox"/> Self-employed	<input checked="" type="checkbox"/> Full-time Employed	<input type="checkbox"/> Part-time Employed
<input type="checkbox"/> Retired	<input type="checkbox"/> Full-time Student	<input type="checkbox"/> Housewife
<input type="checkbox"/> Not Currently Employed		
<input type="checkbox"/> Others (Please specify) _____		
Employer's Name	Nature of Business	
馮福網絡安全諮詢有限公司 馮福網絡安全諮詢有限公司	IT	
Office Phone No.	Year(s) with Existing Employer	Position
853-1111-6660 1729	20 year	CEO
Office Address		
七灣公路 葡京花園 七灣公路 葡京花園 12樓E		
Correspondence Address		
<input checked="" type="checkbox"/> Residential <input type="checkbox"/> Permanent <input type="checkbox"/> Office		
<input type="checkbox"/> Others _____		
Relationship with Joint Account Holder(s) (for joint account only)		
/		

**LICENSED / REGISTERED PERSON DECLARATION**

Are you a licensed / registered person, or an employee of a licensed corporation / registered institution (e.g. employee of a brokerage firm / bank) as defined under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)?

☒ No ☐ Yes, please specify: \_\_\_\_\_

Do you have any relative(s) working in BOCI Group (which includes BOC International Holdings Limited and its subsidiaries)?

☒ No ☐ Yes, please specify: \_\_\_\_\_

Name

Relationship



**ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT**

Are you the ultimate beneficial owner(s) of the Account? (This information is required under the Client Identity Rule Policy of the Securities and Futures Commission.)

☒ Yes ☐ No, please provide details of the ultimate beneficial owner(s):

Name In English	Name in Chinese
Former Name / Alias in English (if any)	Former Name / Alias in Chinese (if any)
I.D. / Passport No.	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality	Other Nationality (if applicable)
Date of Birth <input type="text"/> dd <input type="text"/> mm <input type="text"/> yyyy	Place of Birth
U.S. Tax Resident <input type="checkbox"/> Yes <input type="checkbox"/> No	U.S. Green Card Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
Contact No. <input type="text"/> - <input type="text"/> - <input type="text"/>	Contact No. (phone and/or fax) contains U.S. Country code <input type="checkbox"/> Yes <input type="checkbox"/> No
Address	
Do you, your spouse or any company controlled by you (with 35% or more voting rights) maintain any other account(s) with BOCIS? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, please provide details:	
Account Name	Account No.
Account Name	Account No.

### APPLICANT'S BANK DETAILS

Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.

Bank Account (Hong Kong)	
<input type="checkbox"/> USD	<input checked="" type="checkbox"/> HKD
Bank Name BOC(HK)	
Account Holder's Name HUNG CHIN	Account No. [REDACTED] 684
Bank Account (Overseas)	
Bank Name	
Bank Address	
Account Holder's Name	
Account No.	Currency

**APPLICANT'S FINANCIAL PROFILE AND INVESTMENT EXPERIENCE**

(This information is required under the "know-your-client requirements" of the Securities and Futures Commission.)

**Income and Asset****Estimated Annual Income (HK\$)**

- ☐ Under HK\$200,000  
☐ HK\$200,000 - HK\$500,000  
☒ HK\$500,001 - HK\$1,000,000  
☐ HK\$1,000,001 - HK\$5,000,000  
☐ Above HK\$5,000,000  
☐ Other Income Source: \_\_\_\_\_

**Approximate Net Asset Value (HK\$)(Total Assets - Total Liabilities)**

- ☐ Under HK\$500,000  
☐ HK\$500,000 - HK\$3,000,000  
☒ HK\$3,000,001 - HK\$5,000,000  
☐ HK\$5,000,001 - HK\$30,000,000  
☐ Above HK\$30,000,000

**Educational Background**

- ☐ Primary School    ☐ Secondary School    ☒ University or above    ☐ Others: \_\_\_\_\_

**Source(s) of Funds for This Account (you may choose more than one option)**

- ☐ Sale of Property    ☒ Savings from Earnings / Bonus    ☐ Sale of Investments    ☐ Pension  
☐ Return on Investments    ☐ Inheritance / Gift    ☐ Commission  
☐ Others, please specify: \_\_\_\_\_

**Investment Objective(s) and Strategy(ies) (you may choose more than one option)**

- ☐ Capital Preservation    ☒ Building Wealth    ☐ Speculation  
☐ Regular Income    ☐ Beat Inflation    ☐ Hedging  
☐ Retirement    ☐ Children Education Fund    ☐ Others: \_\_\_\_\_

**Investment Period**

- ☐ Short Term (i.e. less than 1 year)    ☒ Short to Medium Term (i.e. 1 to 5 years)  
☐ Medium Term (i.e. 6 to 10 years)    ☐ Long Term (i.e. over 10 years)

**Investment Experience**

Products	Frequency of Transactions Per Annum	Investment Experience (year)
Listed Shares	<input type="checkbox"/> < 20 <input checked="" type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input checked="" type="checkbox"/> > 5
Debt Securities / Bonds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
Leveraged Foreign Exchange	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
Commodities / Bullion / Precious Metals	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
<b>OTC Structured Products</b>		
• Principal Protected Products	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5

• Non-Principal Protected Products			
Vanilla Derivatives	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
Exotic Derivatives	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
Exchange Traded Derivative Products (traded in Hong Kong or elsewhere)			
• Warrants <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Callable Bull / Bear Contracts <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Futures and Options Contracts <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Equity Linked Notes / Equity Linked Instruments <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Other Products (please specify) _____ <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
Investment Funds			
• Mutual Funds / Unit Trusts	<input checked="" type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input checked="" type="checkbox"/> > 5	
• Hedge Funds / Private Equity Funds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Leveraged and Specialty Exchange Traded Funds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
• Other Funds (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 – 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 – 5 <input type="checkbox"/> > 5	
Other relevant investment experience:  _____			

#### APPLICANT'S DECLARATION

I represent that all information contained in this Customer Information Statement is in all respects true, complete and correct. BOCIS is authorized at any time to contact any person, including but without limitations to my banks, brokers or any credit agency, for purposes of verifying the customer information contained herein.

I declare that I am not currently employed by any entity licensed or registered to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong). Otherwise, I understand that I am required to provide BOCIS written consent from my employer before I open and operate any account with BOCIS. I undertake to promptly notify BOCIS if I become or cease to be employed by any entity licensed or registered to carry out regulated activities.

I undertake to notify BOCIS in writing forthwith upon any changes to any of the information contained in this Customer Information Statement. BOCIS is entitled to rely fully on any of my certification and confirmation contained herein for all purposes, unless BOCIS receives notice in writing of any changes thereof.

#### APPLICANT'S SIGNATURE (THIS SIGNATURE WILL BE TREATED AS SPECIMEN SIGNATURE)

Applicant's Signature:

A handwritten signature in black ink, appearing to be a stylized 'S' or 'G' with a large loop.

Date:

15-10-2014

## ACCOUNT APPLICATION FORM


 中銀國際證券有限公司  
BOCI Securities Limited

A3

**BOCI Securities Limited ("BOCIS")**
 20 / F, Bank of China Tower, 1 Garden Road, Hong Kong  
18 / F, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong  
CE No.: AAC298

For internal use only

Sales / RM Code: AE611

Referral Code: \_\_\_\_\_

Account No.: \_\_\_\_\_

Group ID: \_\_\_\_\_

Comm Code: \_\_\_\_\_

Account risk level:

☒ high ☒ medium ☐ low

Please complete in BLOCK letters.

**SECTION A GENERAL INFORMATION**

Account Name

HUNG CHIN /

Account No. (for existing customer)

Type of Account:

☒ Individual Account /

☐ Joint Account - Please state the total number of joint account holders: ☐
☐ Corporate Account

 I.D. / Passport No. of Principal Account Holder  
(for individual / joint account)

 Certificate of Incorporation No.  
(for corporate account)
**SECTION B TYPE OF SERVICE REQUIRED**

I / We would like to open and maintain trading account(s) to trade the following product(s):

☒ Cash Securities /

☐ Margin Securities

☐ Futures / Index Options / Commodity Options

☐ Stock Options

☐ Leveraged Foreign Exchange Trading

☐ Designated Account for Capital Investment Entrant Scheme

☐ Others: \_\_\_\_\_


**SECTION C SUBSCRIPTION OF ONLINE TRADING SERVICE****C - 1 Online Trading Service for Securities Trading**

☒ Required (Please continue to complete the rest of C-1) ☐ Not Required

☐ I / We wish to use my / our existing online securities account login ID for my / our new securities trading account.

☒ I / We wish to subscribe a new online securities account login ID for my / our new securities trading account.

Please provide 3 choices for online account login ID (6-15 alphanumeric, no space and symbol, e.g. paulchan123)

First Online Service User	Second Online Service User (Mandatory for joint account and optional for corporate account)
1. user8199	1.
2.	2.
3.	3.

**C - 2 Online Trading Service for Futures and Commodities Trading**

☐ Required ☒ Not Required

**C - 3 Online Leveraged Foreign Exchange Trading**

☐ Required ☒ Not Required

**SECTION D OPERATION OF ACCOUNT**

Existing customer is not required to complete this section. The operation of account for new additional product(s) shall be same as the existing settings.

**D - 1 Signing Arrangement (for joint account only)**

We decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of our account must be signed in the following manner:

☐ Singly by either account holder

☐ Jointly by joint account holders

**D - 2 Corporate Communication (for securities account only)**

Do you wish to receive the corporate communication for securities held in the CCASS Depository in Hong Kong of which you are the non-registered underlying owner(s)?

☒ No

☐ Yes, I / we hereby authorize BOCIS to disclose my / our name and correspondence address to the Hong Kong Securities Clearing Company Limited and / or the relevant registrars of the listed issuers. I / We undertake to advise BOCIS immediately of any change of such particulars and acknowledge that the sole duty of BOCIS in this respect is to dispatch my / our name and correspondence address to the aforesaid entities.



**D – 3 Delivery of Statements**Please choose one of the following media for the delivery of statements:☒ **Electronic Statement\***

Daily and monthly electronic statements will be sent to your primary email address

☐ Additional email address for duplicate statements (for corporate account only)

\*BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of statements by email resulting from the breakdown or failure of the transmission of email communication facilities. Statements will be sent to your latest correspondence address provided to BOCIS.

☐ **Physical Statement**

Daily and monthly statements will be sent to your correspondence address by mail. (for joint account, statements will be sent to the correspondence address of the principal account holder)

Choice of Language: ☐ English ☒ Simplified Chinese**D – 4 SMS Instant Trade Confirmation**☐ **Required**

I / We wish to receive execution results of the securities and / or futures and commodities orders via mobile phone's Short Message Service ("Instant Trade Confirmation"). Please send Instant Trade Confirmation to the registered Hong Kong mobile number of the principal account holder.

☐ Securities Account (applicant has to subscribe online trading service for securities trading (Section C-1) simultaneously)☐ Futures/ Commodities/ Stock Options Account(s)

Instant Trade Confirmation service is only available to Hong Kong mobile number only, subject to service availability of network providers. BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of Instant Trade Confirmation resulting from the breakdown or failure of the transmission or communication facilities.

☒ **Not Required****D – 5 Daily Trade Summary (for corporate account only)**☐ **Required** (Please continue to complete the rest of D-5)☒ **Not Required**Please choose one of the following media for receiving daily trade summary:☐ **Fax**☒ Office fax no.☐ Additional fax no. for duplicate trade summary☐ **Email**☒ Primary email address☐ Additional email address for duplicate trade summary

BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of daily trade summary resulting from the breakdown or failure of the transmission or communication facilities.

**SECTION E APPLICANT'S DECLARATION****E - 1 Applicant's Acknowledgement and Confirmation**

Prior to signing this Account Application Form, please:

- note that all transactions to be concluded with or through BOCIS shall be subject to the terms and conditions of the Customer Agreement (as defined below); and
- read the Customer Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish.

(For New Customer)

- ☒ I / We acknowledge my / our receipt of the Customer Agreement of BOCIS (including all Sections thereunder and Appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "Customer Agreement") and confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I / we so wish. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

(For Existing Customer)

- ☐ I / We confirm that I / we have the Customer Agreement of BOCIS (including all Sections thereunder and Appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "Customer Agreement") which I / we have previously been provided with and do not require another copy of the Customer Agreement (including Risk Disclosure Statement). I / We understand that I am / we are entitled to request a further copy of the Customer Agreement (including Risk Disclosure Statement) at any time from BOCIS and / or I / we can access the Customer Agreement (including Risk Disclosure Statement) at any time on the website of BOCIS. I / We confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I / we so wish. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

I / We further acknowledge and agree that: (a) in the event of BOCIS' default and me / us having incurred a loss as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and (b) where securities are deposited with BOCIS or purchased pursuant to the Customer Agreement and held outside Hong Kong, I / we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and I / we may not have the same rights as I / we have in respect of securities held in Hong Kong.

**E - 2 Applicant's Declaration**

For the purpose of opening any new / additional Account(s), I / we hereby authorize BOCIS to use the information provided by me / us in the Customer Agreement (including information previously provided by me / us for the existing Account(s)) to BOCIS ("Customer Information"). I / We represent that all Customer Information is in all respects true, complete and correct and that the representations in the Customer Agreement are accurate as at the date hereof. BOCIS is authorized at any time to contact any person, including but without limitations to my / our banks, brokers or any credit agency, for purposes of verifying the Customer Information.

I / We undertake to notify BOCIS in writing forthwith upon any changes in any such Customer Information. BOCIS is entitled to rely fully on any of my / our certification and confirmation contained for all purposes, unless BOCIS receives prior notice in writing of any changes thereof.

**E - 3 Applicant's Consent to Use of Personal Data**

I / We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Appendix I and II (as applicable) to the Customer Agreement. In particular,


- ☐ I / We hereby consent to the use of my / our Customer Information for direct marketing directly related to the opening or continuation of my / our accounts with BOCIS and the provision of financial services by BOCIS to me / us.
- ☐ I / We hereby consent to the use of my / our Customer Information for direct marketing by BOCIS, any Group Company or other carefully selected financial, insurance, telecommunications service providers of other financial, insurance or telecommunications products and / or services not directly related to the opening or continuation of my / our accounts with BOCIS and the provision of financial services by BOCIS to me / us.

(Corporate account applicant only)


☐ Where personal data or information relating to any of our representatives (including directors, employees, agents, customer (direct or indirect) or affiliates) or any third party is provided to or held by BOCIS in the course of its business dealings with BOCIS, we undertake and represent that we have obtained the relevant consent of our representatives to enable BOCIS to use, process, deal, share or transfer such data or information in accordance with the purposes and requirements of Appendix I and II (as applicable) of the Customer Agreement and we agree that we will promptly provide evidence of such consents as and when requested by BOCIS.

**E - 4 Applicant's Signature**

*For Individual / Joint Account*

Principal Account Holder's Signature 	Second / Other Account Holder's Signature
Print Name HUNG CHIN	Print Name
Date 15/10/2014	Date

*For Corporate Account*

Signature (company chop (if any)) 	Print Name of Authorized Person
	Print Name of Authorized Person (if any)
	Date

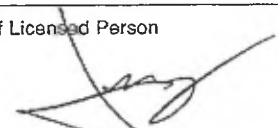
**FOR INTERNAL USE ONLY**

**Licensed Person's Declaration**  
I hereby solemnly swear that:

☒ I have witnessed the signature and inspected the original identity or company establishment documents of the above-named applicant.

☒ The applicant has been provided with the Customer Agreement (including Risk Disclosure Statement) in the language of the applicant's choice (English or Chinese); and the applicant has been invited to read the Customer Agreement (including Risk Disclosure Statement), ask questions and take independent advice if he / she so wishes.

☒ I have already explained to the applicant that if he / she is currently employed by any registered institution or licensed corporation to carry on regulated activities, the applicant is required to provide BOCIS a written consent from his / her employer in support of this account application.

Signature of Licensed Person 	Print Name of Licensed Person CARRY SHUM
CE No. AOL 348	Date 15-10-2014



CSM

1966

1.73.

[illegible]

04-09-2016.

11-05-1993

29-32-1985 M

04-Q9-2006

[illegible]

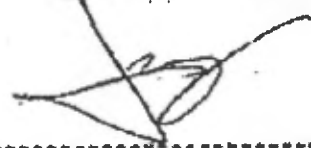
660129ZM160904Z<<<<<<0609045  
HUNG<<CHIN<<<<<<<<<<<<<<<<

**Certified True Copy of the Original**

SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: A0L348)  
Date: 15-10-2014

3

Certified True Copy of the Original



SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: AOL348)

Date: 15-10-2014



Certified True Copy of the Original



SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: AOL348)  
Date: 15-10-2014

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Confidential pursuant to Securities Exchange Act s.24(d).

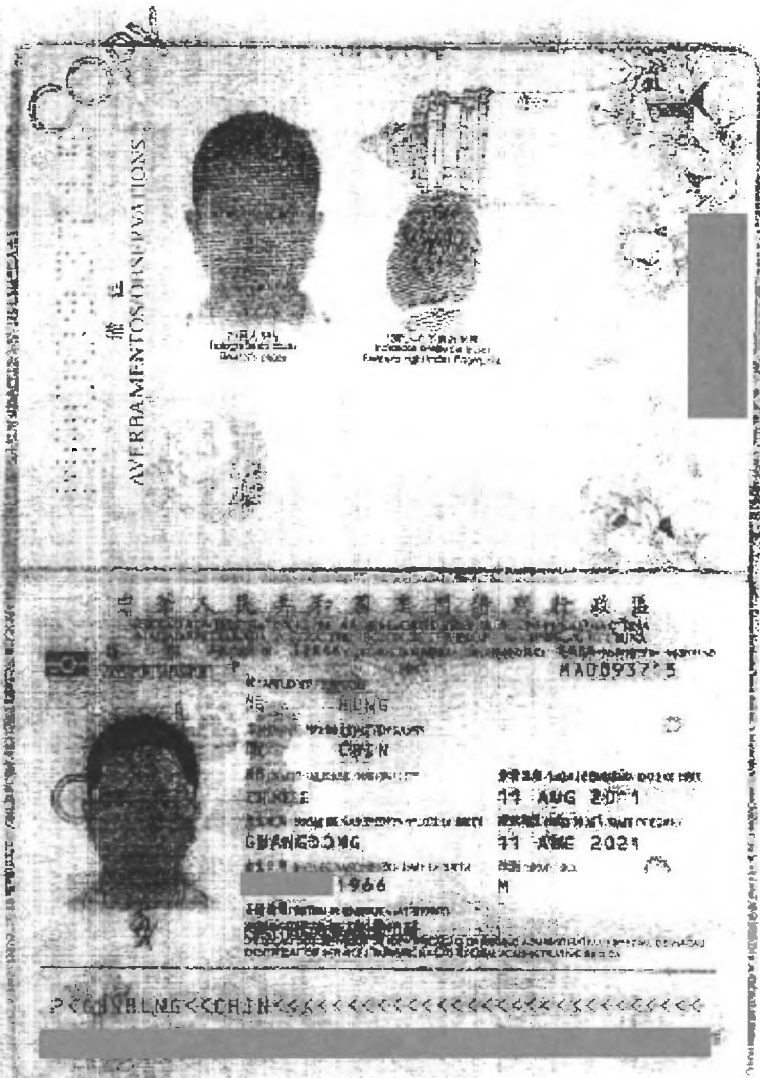
SEC-HKSFC-P-0000354



Certified True Copy of the Original



SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: AOL348)  
Date: 15-10-2014



Certified True Copy of the Original



SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: AOL348)  
Date: 15-10-2014





Bank of China (Hong Kong) Limited

COPY

Mr HUNG CHIN /  
FLAT C 46/F BLOCK 2  
THE ZENITH 258 QUEEN'S RD EAST  
WANCHAI HK

012-926 -1

1 Garden Road, Hong Kong

Customer number	[REDACTED] 69-7
Monthly statement date	2014/08/29
Number of pages	1

Comprehensive monthly statement

## Current / savings account

Account type	Account No	Currency	Original currency balance	HKD equivalent (DR) #1
Current account (HKD)	[REDACTED]	684 4 HKD	6,738.39	6,738.39

## Current / savings account transaction record

Date / currency	Transaction summary	Withdrawal	Deposit	Original currency balance (DR)
Current account	[REDACTED]	684-4		
HKD B/F DAL.				5,500.00
2014/08/25 TRS			2,321,238.39	2,320,738.39
	CHATS/121408259KR11155			
2014/08/27 CCQ 222571		2,320,000.00		6,738.39

## #1 Today's reference prices (converting other currencies to HKD)

Type	Reference price	Type	Reference price	Type	Reference price	Type	Reference price
AUD	7.2470250	BCU	3.8568552	CAD	7.1382518	CHF	8.4736497
CNY	1.2614548	DKK	1.3715600	EUR	10.2222500	GBP	12.8665500
HKD	1.0000000	INR	0.1280886	JPY	0.0745910	NOP	0.9699625
KYR	2.4579765	NOK	1.2538019	NZD	6.5030250	SEK	1.1131219
SGD	6.2124248	THB	0.2426425	TWD	0.2593014	USD	7.7500000

If you would like to find out the reference exchange rates for other currencies that are not included in this monthly statement -- please contact the bank.

If you choose to receive future statements in English, please contact our personal customer hotline **3988 2388** or business customer hotline **3988 2288** to request that.

Nanyang Commercial Bank Ltd. ("Nanyang Commercial"), Chiyu Banking Corp. Ltd. and BOC Credit Card (International) Ltd. are subsidiaries of Bank of China (Hong Kong) Ltd. ("BOC Hong Kong"). Nanyang Commercial Bank (China) Ltd. ("Nanyang China") is a commercial bank established in mainland China and wholly held by BOC Hong Kong through its wholly owned subsidiary Nanyang Commercial. Customer service hotline: **(86) 800-830-2066** (please use a landline to dial this number if you are in mainland China) or **(852) 2929-2988** (please dial this number if you are not in mainland China) Website: [www.ncbchina.cn](http://www.ncbchina.cn)

\*\*\* End \*\*\*

Certified True Copy of the Original

SHUM WAH NIN LARRY  
SFC Licensed Person (CE No: A01348)

Date: 15-10-2014

Non-Hong Kong resident customers using the KMB-related services (including the authorised signatories of their accounts) should bring along their Hong Kong identity cards, travel documents and BOCHK passbook(s) (if applicable) to any of BOCHK's branches in person to update their personal particulars as soon as practicable should they have obtained Hong Kong identity cards. Please call our Personal Customer Service Hotline at (852) 3888 2388 for any enquiry.

Confidential pursuant to Securities Exchange Act s.24(d).

SEC-HKSFC-P-0000356

To: BOCI Securities Ltd.  
Business Operations Department

A5

Opening of adjunct accounts

I am / We are a customer of BOCI Securities Ltd. and hold the following account:

Account name: HUNG CHW

Account number: 6696

1. Please cancel my/our current adjunct accounts in Form A ([Cancel adjunct accounts]) and continue and/or add the adjunct accounts in Form B ([Adjunct accounts])

Form A: Cancel adjunct accounts	Form B: Adjunct accounts
<input checked="" type="checkbox"/> 1000 <input type="checkbox"/> 2000 <input type="checkbox"/> 1888	<input type="checkbox"/> 1000 <input checked="" type="checkbox"/> 2000 <input type="checkbox"/> 1888
<input type="checkbox"/> 8000 <input type="checkbox"/> 8200 <input type="checkbox"/> 8300	<input type="checkbox"/> 8000 <input type="checkbox"/> 8200 <input type="checkbox"/> 8300
<input type="checkbox"/> Other (please specify):	<input type="checkbox"/> Other (please specify):

2. Online services

☐ My/Our adjunct accounts do not require online services.

☒ I/We agree to use the current online login name and password for all adjunct accounts: if applicable.

☐ I/We confirm that no application has been made for online services. I/We agree to apply for online services; these services apply to all adjunct accounts: if applicable. The following are three login names I/we wish to use. (Please provide 6 to 15 numbers or letters; spaces or symbols are not allowed.)


1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

3. I/We authorize you to use the account opening information provided by me/us when I/we applied for an account earlier for opening adjunct accounts ([information]). I/We confirm that all of my/our information is correct.

4. Asset portfolio transfer

☒ I/We authorize you to cancel all holdings in adjunct accounts (including cash, securities, and/or contracts (if applicable)) and transfer them to the following adjunct accounts:



☐ 1000 ☒ 2000 ☐ 1888 ☐ 8000 ☐ 8200 ☐ 8300 ☐ Other (please specify): \_\_\_\_\_

  
Customer's signature

Signature  
Verified By mm

29/12/2014

Date

For Internal Use Only	
AE/ RM Name (Closed Sub-account(s)) (Code: 611) <u>LARRY SHUM</u>	AE/ RM Name (Sub-account(s)) (Code: 611) <u>LARRY SHUM</u>
AE/ RM Signature (Closed Sub-account(s)) 	AE/ RM Signature (Sub-account(s)) 
Team Head Signature (Closed Sub-account(s)) <u>Franki Lal 30 DEC 2014</u>	Team Head Signature (Sub-account(s)) <u>Franki Lal 30 DEC 2014</u>

ISD 083-C/01

## Account application form



BOC International Securities Limited

A3

BOC International Securities Limited

20th Floor, Bank of China Tower, 1 Garden Road Central, Hong Kong

18th Floor, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong

CE Number: AAC298

<small>For internal use only</small>	
Sales / RMI Code:	AEGLI
Referral Code:	
Account No.:	
Group ID:	
Comm Code:	
Account risk level:	
<input checked="" type="checkbox"/> High	<input checked="" type="checkbox"/> Medium <input type="checkbox"/> Low

## Section A: General Information

Account Name (English)

HUNG CHIN

Account Number (for existing account)

 6696 

Type of Account:

- ☒ Individual account  
☐ Joint account. Please state total number of joint account holders: ☐  
☐ Corporate account

ID / Passport number of principal account holder  
(for individual/joint account)
 

Certificate of incorporation No. (for corporate account)

## Section B: Type of service required

I/We would like to open and maintain trading account(s) to trade the following product(s):

- |  |   |
|--|---|
| <input type="checkbox"/> Cash securities                             | <input checked="" type="checkbox"/> Margin securities                             |
| <input type="checkbox"/> Futures / Index Options / Commodity Options | <input type="checkbox"/> Stock options  |
| <input type="checkbox"/> Leveraged Foreign Exchange Trading          | <input type="checkbox"/> Designated account for capital investment entrant scheme |
| <input type="checkbox"/> Others: _____                               |   |



**Section C: Subscription of online trading service****C-1 Online trading service for securities trading**

☒ Required (please continue to complete the rest of C-1) ☐ Not required

☒ I/We wish to use my/our existing online securities account login ID for my/our new securities trading account.

☐ I/We wish to subscribe a new online securities account login ID for my/our new securities trading account.

Please provide 3 choices for online account login ID (6 - 15 numbers or letters; no space and symbol. For example: paulchan123)

First online service user	Second online service user (mandatory for joint account and optional for corporate account)
1.	1.
2.	2.
3.	3.

**C-2 Online trading service for futures and commodities trading**

☐ Required ☒ Not required

**C-3 Online leveraged foreign exchange trading**

☐ Required ☒ Not required

**Section D: Operation of account**

Existing customer is not required to complete this section. The operation of account for new additional product(s) shall be same as the existing settings.

**D-1 Signing arrangement (for *joint account* only)**

We decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of our account must be signed in the following manner:

☐ Signed by either account holder ☒ Jointly by joint account holders

**D-2 Corporate communication (for *securities account* only)**

Do you wish to receive the corporate communication for securities held in the CCASS Depository in Hong Kong of which you are the non-registered underlying owner(s)?



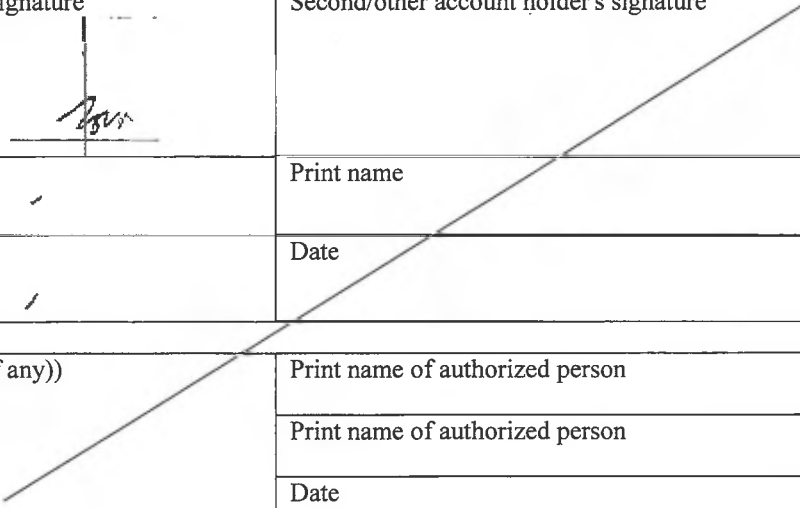
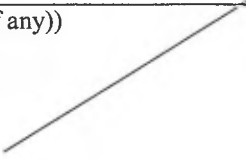
☒ No


☐ Yes, I/we hereby authorize BOCIS to disclose my/our name and correspondence address to the Hong Kong Securities Clearing Company Limited and/or the relevant registrars of the listed issuers. I/We undertake to advise BOCIS immediately of any change of such particulars and acknowledge that the sole duty of BOCIS in this respect is to dispatch my/our name and correspondence address to the aforesaid entities.



<b>D-3 Delivery of statements</b>	
Please choose <b>one</b> of the following media for the delivery of statements:	
<input checked="" type="checkbox"/> <b>Electronic statement*</b> Daily and monthly electronic statements will be sent to your primary email address <input type="checkbox"/> Additional email address for duplicate statements (for corporate account only) <div style="border: 1px solid black; height: 15px; width: 100%; margin-top: 5px;"></div>	
* BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of statements by email resulting from the breakdown or failure of the transmission of email communication facilities. Statements will be sent to your latest correspondence address provided to BOCIS.	
<input type="checkbox"/> <b>Physical statement</b> Daily and monthly electronic statements will be sent to your correspondence address by mail. (For joint account, statements will be sent to the correspondence address of the principal account holder)	
Choice of language: <input type="checkbox"/> English <input checked="" type="checkbox"/> Simplified Chinese	
<b>D-4 SMS instant trade confirmation</b>	
<input type="checkbox"/> <b>Required</b>  I/We wish to receive execution results of the securities and/or futures and commodities orders via mobile phone's short message service ("instant trade confirmation"). Please send instant trade confirmation to the registered Hong Kong mobile number of the principal account holder.  <input type="checkbox"/> Securities account (applicant has to subscribe online trading service for securities trading (Section C-1) simultaneously)  <input type="checkbox"/> Futures/commodities/stock options account(s)  Instant trade confirmation service is available to Hong Kong mobile number only, subject to service availability of network providers. BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of instant trade confirmation resulting from the breakdown or failure of the transmission or communications facilities.	
<input checked="" type="checkbox"/> <b>Not required</b>	
<b>D-5 Daily trade summary (for corporate account only)</b>	
<input type="checkbox"/> <b>Required</b> (Please complete the rest of D-5) <input checked="" type="checkbox"/> <b>Not required</b>	
Please choose <b>one</b> of the following media for receiving daily trade summary:	
<input type="checkbox"/> <b>Fax</b> <input checked="" type="checkbox"/> <b>Office fax no.</b>  <input type="checkbox"/> Additional fax no. for duplicate trade summary	<div style="border: 1px solid black; width: 300px; height: 15px; margin-top: 5px;"></div>
<input type="checkbox"/> <b>Email</b> <input checked="" type="checkbox"/> <b>Primary email address</b>  <input type="checkbox"/> Additional email address for duplicate trade summary	<div style="border: 1px solid black; width: 200px; height: 15px; margin-top: 5px;"></div>
BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of daily trade summary resulting from the breakdown or failure of the transmission or communications facilities.	

Section E: Applicant's declaration
E-1 Applicant's acknowledgement and confirmation
<p><b>Prior to signing this account application form, please:</b></p> <ul style="list-style-type: none"> <li>· note that all transactions to be concluded with or through BOCIS shall be subject to the terms and conditions of the Customer Agreement (as defined below); and</li> <li>· read the Customer Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish.</li> </ul>
<p><b>(For new customer)</b></p> <p><input type="checkbox"/> I/We acknowledge my/our receipt of the Customer Agreement of BOCIS (including all sections thereunder and appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "<b>Customer Agreement</b>") and confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me/us in a language (English or Chinese) of my/our choice and I/we was/were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I/we so wish. I/We confirm that I/we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.</p>
<p><b>(For existing customer)</b></p> <p><input checked="" type="checkbox"/> I/We confirm that I/we have the Customer Agreement of BOCIS (including all sections thereunder and appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "<b>Customer Agreement</b>") which I/we have previously been provided with and do not require another copy of the Customer Agreement (including Risk Disclosure Statement). I/We understand that I am/we are entitled to request a further copy of the Customer Agreement (including Risk Disclosure Statement) at any time from BOCIS and/or I/we can access the Customer Agreement (including Risk Disclosure Statement) at any time on the website of BOCIS. I/We confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me/us in a language (English or Chinese) of my/our choice and I was/ we were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions, and take independent advice if I/we so wish. I/We confirm that I/we have carefully read, fully understood, and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.</p> <p>I/We further acknowledge and agree that: (a) in the event of BOCIS' default and me/us having incurred a loss as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and (b) where securities are deposited with BOCIS or purchased pursuant to the Customer Agreement and held outside Hong Kong, I/we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and I/we may not have the same rights as I/we have in respect of securities held in Hong Kong.</p>
E-2 Applicant's declaration
<p>For the purpose of opening any new/additional account(s), I/we hereby authorize BOCIS to use the information provided by me/us in the Customer Agreement (including information previously provided by me/us for the existing account(s)) to BOCIS ("Customer Information"). I/We represent that all customer information is in all respects true, complete, and correct and that the representations in the Customer Agreement are accurate as at the date hereof. BOCIS is authorized at any time to contact any person, including but without limitations to my/our banks, broker, or any credit agency, for purposes of verifying the customer information.</p> <p>I/We undertake to notify BOCIS in writing forthwith upon any changes in any such customer information. BOCIS is entitled to rely fully on any of my/our certification and confirmation contained for all purposes, unless BOCIS receives prior notice in writing of any changes thereof.</p>
E-3 Applicant's consent to use of personal data
<p>I/We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Appendix I and II (as applicable) to the Customer Agreement. In particular,</p> <p><input type="checkbox"/> I/We hereby consent to the use of my/our customer information for direct marketing directly related to the opening or continuation of my/our accounts with BOCIS and the provision of financial services by BOCIS to me/us.</p> <p><input type="checkbox"/> I/We hereby consent to the use of my/our customer information for direct marketing by BOCIS, any Group Company or other carefully selected financial, insurance, telecommunications service providers of other financial, insurance or telecommunications products and/or services not directly related to the opening or continuation of my/our accounts with BOCIS and the provision of financial services by BOCIS to me/us.</p>

<b>(Corporate account applicant only)</b>	
<input type="checkbox"/> Where personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by BOCIS in the course of its business dealings with BOCIS, we undertake and represent that we have obtained the relevant consent of our representatives to enable BOCIS to use, process, deal, share or transfer such data or information in accordance with the purposes and requirements of Appendix I and II (as applicable) of the Customer Agreement and we agree that we will promptly provide evidence of such consents as and when requested by BOCIS.	
E-4 Applicant's signature	
<b>For individual / joint account</b>	
Principal account holder's signature  Signature Verified By 	Second/other account holder's signature 
Print name HUNG CHIA	Print name
Date 29/12/2014	Date
<b>For corporate account</b>	
Signature (company seal (if any)) 	Print name of authorized person
	Print name of authorized person
	Date

<b>For internal use only</b>	
<b>Licensed person's declaration</b>	
I hereby solemnly swear that:	
<p>■ I have witnessed the signature and inspected the original identity or company establishment documents of the above-named applicant.</p> <p>■ The applicant has been provided with the Customer Agreement (including Risk Disclosure Statement) in the language of the applicant's choice (English or Chinese); and the applicant has been invited to read the Customer Agreement (including Risk Disclosure Statement), ask questions and take independent advice if he/she so wishes.</p> <p>■ I have already explained to the applicant that if he/she is currently employed by any registered institution or licensed corporation to carry on regulated activities, the applicant is required to provide BOCIS a written consent from his/her employer in support of this account application.</p>	
Signature of licensed person 	Printed name of licensed person LARRY SHUM
CE No. A06348	Date 29/12/2014

**CUSTOMER INFORMATION STATEMENT -  
INDIVIDUAL / JOINT ACCOUNT**

**中銀國際 證券有限公司**  
**BOCI Securities Limited**
**BOCI Securities Limited ("BOCIS")**  
 20/F, Bank of China Tower, 1 Garden Road, Hong Kong  
 18/F, Queen's Millennium Plaza, 181 Queen's Road Central, Hong Kong  
 CENo: AAC298

Please complete in BLOCK letters.

**TYPE OF ACCOUNT**
☒ Individual Account

☐ Joint Account (Each of the joint account holders (other than the principal account holder) shall complete the Customer Information Statement - Joint Account Holder.)

**PRINCIPAL / SOLE ACCOUNT HOLDER'S PERSONAL INFORMATION**

Name in English <b>HUNG CHIN</b>	Name in Chinese <b>熊 戰</b>
<b>Hung Chin</b>	
Former Name / Alias in English (if any) /	Former Name / Alias in Chinese (if any) /
I.D. / Passport No. [REDACTED]	Gender <input checked="" type="checkbox"/> Male <input type="checkbox"/> Female
Nationality <b>CHINESE</b>	Other Nationality (if applicable) /
Date of Birth [REDACTED] <b>1966</b>	Place of Birth <b>GUANGDONG</b>
U.S. Tax Resident <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	U.S. Green Card Holder <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Home Phone No. [REDACTED]	Mobile Phone No. <b>66601729</b> <b>853-666077</b>
Fax No. [REDACTED]	Contact No. (phone or fax) contains U.S. Country Code <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Primary Email Address <b>hungchin@126.com</b>	
This email address shall be used for accounts' operation, activation of online trading service and receipt of all correspondence, including electronic statement (if applicable).	

ESR-083A-EN2

Confidential pursuant to Securities Exchange Act s.24(d).

SEC-HKSFC-P-000036

Residential Address (P.O. Box not accepted)	
FLAT C 46/F BLOCK 2 THE ZENITH 258 QUEEN'S RD EAST WANCHAI, HK	
Permanent Address (if different from above) (P.O. Box not accepted)	
Nature of Occupancy	
<input type="checkbox"/> With Parents	<input type="checkbox"/> Owned (No mortgage)
<input type="checkbox"/> Relative's	<input type="checkbox"/> Staff Quarters
<input checked="" type="checkbox"/> Mortgaged / Monthly Instalment \$ 20k	<input type="checkbox"/> Rented / Monthly Rental \$
Employment Status	
<input type="checkbox"/> Self-employed	<input checked="" type="checkbox"/> Full-time Employee
<input type="checkbox"/> Retired	<input type="checkbox"/> Part-time Employee
<input type="checkbox"/> Full-time Student	<input type="checkbox"/> Not Currently Employed
<input type="checkbox"/> Housewife	<input type="checkbox"/> Others (Please specify)
Employer's Name	Nature of Business
MaMeng Network Security Consultants Ltd.	IT

Office Phone No.	Year(s) with Existing Employer	Position
853-1111 6660 1729	20 year	CEO
Office Address, 12th Floor, Lisboa Garden, Estrada de Sete Tanques, Taipa		

Correspondence Address
<input checked="" type="checkbox"/> Residential <input type="checkbox"/> Permanent <input type="checkbox"/> Office
<input type="checkbox"/> Others
Relationship with Joint Account Holder(s) (for joint account only)

LICENSED / REGISTERED PERSON DECLARATION	
Are you a licensed / registered person, or an employee of a licensed corporation / registered institution (e.g., employee of a brokerage firm / bank) as defined under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)?	
<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, please specify.	
Do you have any relative(s) working in BOC Group (which includes BOC International Holdings Limited and its subsidiaries)?	
<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, please specify.	Relationship

- 2 -

ESP/DE04-S/03

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SEC-HKSEC-P-0000364



ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT	
Are you the ultimate beneficial owner(s) of the Account? (This information is requested under the Client Identity Policy of the Securities and Futures Commission.)	
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No, please provide details of the ultimate beneficial owner(s):	
Name in English	Name in Chinese
Former Name / Alias in English (if any)	Former Name / Alias in Chinese (if any)
U.S. ID / Passport No.	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality	Other Nationality (if applicable)
Date of Birth: <input type="text"/> / <input type="text"/> / <input type="text"/>	Place of Birth
U.S. Tax Resident <input type="checkbox"/> Yes <input type="checkbox"/> No	U.S. Green Card Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
Company No. <input type="text"/>	Company No. (please include any relevant U.S. Company code) <input type="checkbox"/> Yes <input type="checkbox"/> No
Address	
Do you, your spouse or any company controlled by you (with 25% or more voting rights) own any of the account(s) with BOC? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes, please provide details:	
Account Name	Account No.
Account Name	Account No.
APPLICANT'S BANK DETAILS	
Funds will be transferred to the following bank accounts pursuant to your bank withdrawal instruction.	
Bank Account (Hong Kong)	<input type="checkbox"/> USD <input checked="" type="checkbox"/> HKD
Bank Name BOC(HK)	
Account Holder's Name HUNG CHIN	Account No. 684-14
Bank Address (Overseas)	
Bank Name	
Bank Address	
Account Holder's Name	
Account No.	Currency

- 3 -

F5/R4206-PR2

Confidential pursuant to Securities Exchange Act s.24(d).

SEC-HKSFC-P-0000365

APPLICANT'S FINANCIAL PROFILE AND INVESTMENT EXPERIENCE		
(This information is required under the "know-your-client requirements" of the Securities and Futures Commission.)		
Income and Asset		
Estimated Annual Income (HK\$)	Approximate Net Asset Value (HK\$) (Total Assets - Total Liabilities)	
<input type="checkbox"/> Under HK\$200,000	<input type="checkbox"/> Under HK\$500,000	
<input type="checkbox"/> HK\$200,000 - HK\$500,000	<input type="checkbox"/> HK\$500,000 - HK\$1,000,000	
<input checked="" type="checkbox"/> HK\$500,000 - HK\$1,000,000	<input checked="" type="checkbox"/> HK\$1,000,000 - HK\$5,000,000	
<input type="checkbox"/> HK\$1,000,000 - HK\$5,000,000	<input type="checkbox"/> HK\$5,000,000 - HK\$10,000,000	
<input type="checkbox"/> Above HK\$5,000,000	<input type="checkbox"/> Above HK\$10,000,000	
<input type="checkbox"/> Other Income Source: _____		
Educational Background		
<input type="checkbox"/> Primary School <input type="checkbox"/> Secondary School <input checked="" type="checkbox"/> University or Above <input type="checkbox"/> Others: _____		
Source(s) of Funds for This Account (you may choose more than one option)		
<input type="checkbox"/> Sale of Property	<input type="checkbox"/> Savings from Earnings / Bonus	<input type="checkbox"/> Sale of Investments
<input type="checkbox"/> Return on Investments	<input type="checkbox"/> Inheritance / Gift	<input type="checkbox"/> Pension
<input type="checkbox"/> Others, please specify: _____		
Investment Objectives and Strategies (you may choose more than one option)		
<input type="checkbox"/> Capital Preservation	<input checked="" type="checkbox"/> Building Wealth	<input type="checkbox"/> Speculation
<input type="checkbox"/> Regular Income	<input type="checkbox"/> Debt Inflation	<input type="checkbox"/> Hedging
<input type="checkbox"/> Retirement	<input type="checkbox"/> Children Education Fund	<input type="checkbox"/> Others: _____
Investment Horizon		
<input type="checkbox"/> Short Term (i.e. less than 1 year) <input checked="" type="checkbox"/> Short to Medium Term (i.e. 1 to 5 years)		
<input type="checkbox"/> Medium Term (i.e. 6 to 10 years) <input type="checkbox"/> Long Term (i.e. more than 10 years)		
Investment Experience		
Products	Frequency of Transactions Per Annum	Investment Experience (year)
Listed Shares	<input type="checkbox"/> < 20 <input checked="" type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input checked="" type="checkbox"/> > 5
Debt Securities / Bonds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
Leveraged Foreign Exchange	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
Commodities / Derivatives / Precious Metals	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5
OTC Structured Products		
- Principal Structured Products	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> Nil <input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5

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Non-Restructured Products			
Vanilla Derivatives	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
Exotic Derivatives	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
Exchange Traded Derivative Products (traded in Hong Kong or elsewhere)			
- Warrants <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 50 <input type="checkbox"/> 50 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
- Convertible Bonds / Note Convertibles <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
- Exchange and Options Convertibles <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 50 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
- Equity Linked Notes / Equity Linked Instruments <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
- Other Products (please specify) _____ <input type="checkbox"/> Hong Kong <input type="checkbox"/> other exchanges (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
Investment Funds			
Mutual Funds / Unit Funds	<input checked="" type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input checked="" type="checkbox"/> > 5	
Hedge Funds / Private Equity Funds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
Leveraged and Synthetic Exchange Traded Funds	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
Other Funds (please specify) _____	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 50 <input type="checkbox"/> > 50	<input checked="" type="checkbox"/> < 1 <input type="checkbox"/> 1 - 5 <input type="checkbox"/> > 5	
Other relevant information / comments			

**APPLICANT'S DECLARATION**

I represent that all information contained in this Customer Information Statement is in all respects true, complete and correct. BOCGS is authorized at any time to contact any person, including but not limited to my banks, brokers or any credit agency, for purposes of verifying the customer information contained herein.

I declare that I am not currently employed by any entity licensed or registered to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong). Otherwise, I understand that I am required to provide BOCGS with current from my employer (which I copy and paste) with BOCGS. I undertake to promptly notify BOCGS if I become or cease to be employed by any entity licensed or registered to carry out regulated activities.

I undertake to notify BOCGS in writing forthwith upon any change to any of the information contained in the Customer Information Statement. BOCGS is entitled to rely fully on any of my certification and confirmation contained herein for all purposes, unless BOCGS receives notice of any changes thereof.

**APPLICANT'S SIGNATURE**

(THIS SIGNATURE WILL BE TREATED AS SPECIMEN SIGNATURE)

APPLICANT'S SIGNATURE



DATE

15-10-2014

1/1

ESFC004-E02

## ACCOUNT APPLICATION FORM



BOCI Securities Limited ("BOCI")  
 30/F, Bank of China Tower, 1 Garden Road, Hong Kong  
 18/F, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong  
 DE NO: BBL288

For internal use only  
 Sales / RM Code: AE611  
 Referral Code: \_\_\_\_\_  
 Account No: \_\_\_\_\_  
 Group ID: \_\_\_\_\_  
 Comm Code: \_\_\_\_\_  
 Account risk level:  
☒ high ☐ medium ☐ low

Please complete in BLOCK letters.

## SECTION A GENERAL INFORMATION

Account Name

HUNG CHIN /

Account No. (for existing accounts)

Type of Account:

☒ Individual Account

☐ Joint Account - Please state the total number of joint account holders:

☐ Corporate Account

I.D. / Passport No. of Principal Account Holder  
 (for individual / joint account)



Certificate of Incorporation No.  
 (for corporate account)



## SECTION B TYPE OF SERVICE REQUIRED

☒ We would like to open and maintain trading account(s) to trade the following product(s):

☒ Cash Securities

☐ Margin Securities

☐ Futures / Index Options / Commodity Options

☐ Struct. Options

☐ Overseas Foreign Exchange Trading

☐ Designated Account for Capital Investment Related Services

☐ Other: \_\_\_\_\_

CONFIDENTIAL INFORMATION

FORM 058-010

Confidential pursuant to Securities Exchange Act s.24(d).

SEC-HKSEC-P-0000369



SECTION C: SUBSCRIPTION OF ONLINE TRADING SERVICE	
C - 1 Online Trading Service for Securities Trading	
<input checked="" type="checkbox"/> Required (Please continue to complete the rest of C-1) <input type="checkbox"/> Not Required	
<input type="checkbox"/> I wish to use my / our existing online securities account login ID for my / our new securities trading account.	
<input checked="" type="checkbox"/> I wish to subscribe a new online securities account login ID for my / our new securities trading account.	
Please provide 3 choices for online account login ID (5-15 alphanumeric, no space and symbol, e.g. 0601123456789)	
First Online Service User	Second Online Service User (Mandatory for joint account and optional for corporate account)
1. user8199	1.
2.	2.
3.	3.
C - 2 Online Trading Service for Futures and Commodities Trading	
<input type="checkbox"/> Required <input checked="" type="checkbox"/> Not Required	
C - 3 Online Leveraged Foreign Exchange Trading	
<input type="checkbox"/> Required <input checked="" type="checkbox"/> Not Required	
SECTION D: OPERATION OF ACCOUNT	
Existing customer is not required to complete this section. The operation of account for new additional product(s) shall be same as the existing settings.	
D - 1 Signing Arrangement (for joint account only)	
We decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of our account shall be signed in the following manner:	
<input type="checkbox"/> singly by either account holder <input checked="" type="checkbox"/> jointly by joint account holders	
D - 2 Corporate Communication (for securities account only)	
Do you wish to receive the corporate communication for securities held in the CCASS Depository in Hong Kong of which you are the registered underlying owner(s)?	
<input checked="" type="checkbox"/> Yes	
<input type="checkbox"/> No. If we have authentic ROCs in respect my / our name and correspondence address in the Hong Kong Securities Clearing Company Limited and / or the relevant registrars of the listed issuers, I / We undertake to advise BOCs immediately of any change of such particulars and acknowledge that the sole duty of BOCs in this respect is to dispatch my / our name and correspondence address to the aforesaid entities.	

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SAR 060 FAX

Confidential pursuant to Securities Exchange Act s.24(d).

SEC-HKSF-C-P-0000370

\*Chinese by "First Online Service User": number

**D - 3 Delivery of Statements**

Please choose one of the following media for the delivery of statements:

☒ **Electronic Statement\***  
Daily and monthly electronic statements will be sent to your primary email address.

☐ Additional email address for duplicate statements (for corporate account only):

\_\_\_\_\_  
\_\_\_\_\_

\*BQIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of statements by email resulting from the breakdown or failure of the transmission of email communication facilities. Statements will be sent to your latest correspondence address provided by BQIS.

☐ **Physical Statement**  
Daily and monthly statements will be sent to your correspondence address by mail. (For joint account, statements will be sent to the correspondence address of the principal account holder.)

Continue in language: ☐ English ☒ Simplified Chinese

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**D - 4 SACS Instant Trade Confirmation**

☐ **Required**

\* We serve as clearing reception media of the securities and / or futures and commodities orders via outside phone's Short Message Service (Instant Trade Confirmation). Please send instant Trade Confirmation to the registered Hong Kong mobile number of the principal account holder.

☐ Securities Account (applicant has to subscribe online trading service for securities trading (Section D-1) simultaneously)

☐ Futures/Commodities/Stock Options Account(s)

Instant Trade Confirmation service is only available to Hong Kong mobile number only, subject to service availability at network provider's BQIS reserves the right to change or discontinue this service without any prior notice. We disclaim the liability of instant Trade Confirmation (including but not limited to) in the event of the malfunction or communication facilities.

☒ **Not Required**

---

**D - 5 Daily Trade Summary (for corporate account only)**

☐ **Required** (Please continue to complete the rest of D-5) ☒ **Not Required**

Please choose one of the following media for receiving daily trade summary:

☐ Fax ☒ Office fax no. \_\_\_\_\_  
☐ Additional fax no. for duplicate trade summary: \_\_\_\_\_

☐ Email ☒ Primary email address \_\_\_\_\_  
☐ Additional email address for duplicate trade summary: \_\_\_\_\_

BQIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of daily trade summary resulting from the breakdown or failure of the transmission or communication facilities.

**SECTION E APPLICANT'S DECLARATION****E - 1 Applicant's Acknowledgement and Confirmation**

Prior to signing this Account Application Form, please:

- note that all transactions to be conducted will be through BOCIS and be subject to the terms and conditions of the Customer Agreement (in Chinese below); and
- read the Customer Agreement (including Risk Disclosure Statement) when you have been provided in a language (English or Chinese) of your choice clearly, ask questions and take independent advice if you so wish.

(For New Applicant)

☒ I/We acknowledge my / our receipt of the Customer Agreement of BOCIS (including all Sections hereunder and Appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), singular application (collectively the "Customer Agreement") and confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I / we so wish. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and I will be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

(For Existing Applicant)

☐ I / We confirm that I / we have the Customer Agreement of BOCIS (including all Sections thereunder and Appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "Customer Agreement") which I / we have previously been provided with and do not require further copy of the Customer Agreement (including Risk Disclosure Statement). I / We understand that I / we are entitled to request a further copy of the Customer Agreement (including Risk Disclosure Statement) in any time from BOCIS and I / we can accept the Customer Agreement (including Risk Disclosure Statement) at any time on the website of BOCIS. I / we confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I / we so wish. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

I / We further acknowledge and agree that: (a) in the event of BOCIS' default and me / us having incurred a loss as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be reduced to a extent provided for therein; and (b) where securities are deposited with BOCIS or purchased pursuant to the Customer Agreement and held under Hong Kong, I / we may not be afforded equivalent protection in respect of those securities as the investor under Hong Kong law and I / we may not have the same rights as I / we have in respect of securities held in Hong Kong.

**E - 2 Applicant's Declaration**

For the purpose of opening any new transaction account(s), I / we hereby authorize BOCIS to use the information provided by me / us in the Customer Agreement (including information previously provided by me / us for the existing account(s) to BOCIS ("Customer Information"). I / We represent that all Customer Information is in all respects true, complete and correct and that the representations in the Customer Agreement are accurate as of the date hereof. BOCIS is authorized at any time to contact any person, including but not limited to my / our bank, brokers or any credit agency, for purposes of verifying the Customer Information.

I / We undertake to notify BOCIS in writing (electronically or in any other form) immediately if I / we receive any notice in writing on any of my / our credit or performance records for any purpose, unless BOCIS receives prior notice in writing or any changes thereof.

**E - 3 Applicant's Consent to Use of Personal Data**

I / We have carefully read, fully understood and agree to accept and be bound by the terms and conditions relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Appendix 1 and 11 as applicable to the Customer Agreement, in particular:

☐ I / We hereby consent to the use of my / our Customer Information for direct marketing directly related to the opening or continuation of my / our accounts with BOCIS and the provision of financial services by BOCIS to me / us.

☐ I / We hereby consent to the use of my / our Customer Information for direct marketing by BOCIS, any Group Company or other entity selected financial, insurance, telecommunications service providers of other financial, insurance or telecommunications products and / or services not directly related to the opening or continuation of my / our accounts with BOCIS and the provision of financial services by BOCIS to me / us.



BSR DES 6/22

(Customer account applicant only)


1.1 Where personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by BOCIIS in the course of its business dealings with BOCIIS, we undertake and represent that we have obtained the relevant consent of our representatives to enable BOCIIS to use, process, store, share or transfer such data or information in accordance with the purposes and requirements of Appendix I and II (as applicable) of the Customer Agreement and we agree that we will promptly provide evidence of such consent as and when requested by BOCIIS.

**E - 4 Applicant's Signature**

*For Individual / Joint Account*

Principal Account Holder's Signature 	Second / Other Account Holder's Signature 
Print Name HUNBY CHIN	Print Name
Date 15/10/2014	Date

*For Corporate Account*

Signature (company stamp if any) 	Print Name of Authorized Person
	Print Name of Authorized Person (if any)
	Date


**FOR INTERNAL USE ONLY**

Licensed Person's Declaration  
I hereby solemnly swear that:

☒ I have witnessed the signature and inspected the original identity or company appointment documents of the above-named applicant.

☒ The applicant has been provided with the Customer Agreement (including Risk Disclosure Statement) in the language of the applicant's choice (English or Chinese); and the applicant has been invited to read the Customer Agreement (including Risk Disclosure Statement) and questions and take independent advice if he/she so wishes.

☒ I have already explained to the applicant that if he/she is currently employed by any registered institution or licensed corporation to carry on regulated activities, the applicant is required to provide BOCIIS a written consent from his/her employer in support of the account application.

Signature of Licensed Person 	Print Name of Licensed Person LARRY SHUM
CC No. AOL 348	Date 15-10-2014

- 5 -

CCN-024760



## CERTIFICATION

This is to certify that the attached English language documents are true and accurate translations of the original Chinese language documents to the best of our knowledge and belief. The documents are identified as below:

Schreiber Translations, Inc.

51 Monroe Street

Suite 101

Rockville, MD 20850

P: 301.424.7737

F: 301.424.2336

"20141031\_2\_8176696-1000\_1\_1\_1415142843210", "20141130\_2\_8176696-1000\_1\_1\_1417556783307", "20141231\_2\_8176696-1000\_1\_1\_1420472457188", "20150131\_2\_8176696-1000\_1\_1\_1422921400287", "20150131\_2\_8176696-2000\_1\_1\_1422921400849", "20150228\_2\_8176696-2000\_1\_1\_1425319776925", "20150331\_2\_8176696-2000\_1\_1\_1428160938182", "20150430\_2\_8176696-2000\_1\_1\_1430773110781", "20150531\_2\_8176696-2000\_1\_1\_1433203014065", "20150831\_2\_8176696-2000\_1\_1\_1441342950659", "SEC-HKSFC-P-0000353", "SEC-HKSFC-P-0000358", "SEC-HKSFC-P-0000363", "SEC-HKSFC-P-0000369", "SEC-HKSFC-P-0000374", "20150630\_2\_8176696-2000\_1\_1\_1436374398049", "20150731\_2\_8176696-2000\_1\_1\_1438663193411", "20150930\_2\_8176696-2000\_1\_1\_1443924586959", "20151031\_2\_8176696-2000\_1\_1\_1446499570183", "20151130\_2\_8176696-2000\_1\_1\_1449219975285", "20151231\_2\_8176696-2000\_1\_1\_1451873835587"

Executed this 13<sup>th</sup> day  
of April, 2016

Schreiber Translations, Inc.  
51 Monroe Street, Suite 101  
Rockville, Maryland 20850  
ATA Member 212207

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